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**U.S. Department of Justice**

Law Enforcement Assistance Administration  
Washington, D.C. 20531



# Urban Crime Prevention Program

## Guideline Manual





Jointly Administered  
by **ACTION & LEAA**

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## PREFACE

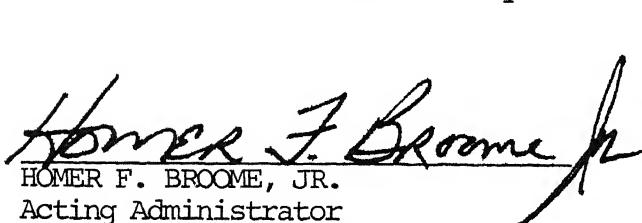
On March 27, 1978, President Carter announced in his Urban Policy Message that "a coherent national policy that is consistent, compassionate, realistic and that reflects the decency and the good sense of the American people" would be instituted at the federal level of government.

The President's policy is a long-range commitment that places emphasis on "a new partnership" that will draw together all levels of government, the private sector, neighborhoods and voluntary associations in an effort to conserve and strengthen cities and communities.

Proposals announced by the President are comprehensive, and include a commitment to programs that will assist urban areas in dealing with unemployment, housing, economic development and other social service needs. He specifically called upon the Law Enforcement Assistance Administration (LEAA) and ACTION to work jointly toward stimulating greater involvement by neighborhood organizations in community crime prevention activities.

Drawing upon the broad goals of the President's Urban Policy, and the individual strengths and expertise of the LEAA and ACTION, the Urban Crime Prevention Program described in this guidebook has been jointly developed and will be jointly administered by both agencies. Among the innovative aspects of the program is the intent to focus on the social and economic factors directly associated with criminal activity. We view this effort as an example of how increased effectiveness can be achieved through coordination and cooperation among two or more federal agencies. It is our expectation that the sharing of resources and knowledge for this national program will increase the ability of the federal government to improve the quality of life in our cities.

The program described in this guidebook is designed to encourage neighborhood groups and volunteers to work in partnership with public agencies and elected officials in crime prevention initiatives. It should be viewed as one of many efforts that have been developed and will continue to expand as a result of the President's Urban Policy.



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## INTRODUCTION

The Urban Crime Prevention Program (UCPP) is an integral part of the President's Urban Policy Message, which was announced in March of 1978. This policy clearly calls for a new effort in urban community crime prevention based on successful pilot models. Based on the President's policy, the primary focus of the UCPP effort is placed on the following:

- The stimulating of "greater involvement by neighborhood organizations and voluntary associations." (1)
- The forging of "working partnerships among community groups, criminal justice representatives, and city officials in community crime prevention." (2)

This new Presidential initiative is a joint venture by ACTION and the Law Enforcement Assistance Administration (LEAA). The UCPP design and programmatic management are shared responsibilities of both agencies. While common elements have been found and developed between the agencies, the overall mission and function of each are not merged in every aspect. ACTION's special experience in volunteerism and community organization will be drawn upon in conjunction with the LEAA's decade of expertise in the field of crime prevention. Funds allocated for FY 1980 by the LEAA amount to \$5.5 million.

The UCPP is not intended to duplicate or conflict with existing community crime prevention efforts. The program is designed to complement and expand upon what is presently being conducted.

The purpose of this guidebook is to assist applicants in preparing grant applications for the UCPP by providing detailed information on the program objectives, structure, and types of models that will be funded.

Specifically, this manual is structured along the following lines:

- Goals and objectives for the UCPP are defined.
- Information is given as to how the UCPP, while building on the experience of existing projects is new and different.
- Thinking is stimulated about the relationship between neighborhood revitalization, community organization building, crime prevention, and urban partnership, which are all key elements in the UCPP.
- A series of project models is outlined that applicants can choose from when developing applications for funding.
- Key features of program structure and operations are described.

- Eligibility and selection criteria for grantees and project organizations are set forth.
- Appendices giving general and specific regulations and guidelines to assist applicants in applying for financial assistance are set forth.

#### REFERENCES

- (1) President Carter's "Urban Policy Message," March 27, 1978. Referred to Committee of the White House on the State of the Union, 95th Congress, 2nd Session. House Document 95309.
- (2) "A New Partnership to Conserve America's Communities: A Status Report on the President's Urban Policy," June 1978.

## INTRODUCCION

El Programa de Prevención del Crimen Urbano (Urban Crime Prevention Program - UCPP) es parte integral del Mensaje Presidencial sobre la Política Urbana anunciado por el Presidente Carter en marzo del 1978. Esta política claramente aboga por un nuevo enfoque en la prevención del crimen urbano basado en la utilización de proyectos con probado éxito que sirvan de guia. Segun la política del Presidente, el enfoque primario del UCPP consiste en lo siguiente:

Fomentar "más cooperación entre organizaciones de vecindarios y asociaciones de voluntarios." (1)

Forjar "un enlace de trabajo entre sociedades y grupos comunitarios, representantes de la justicia criminal, y funcionarios municipales envueltos en la prevención del crimen." (2)

Esta iniciativa presidencial es una aventura conjunta entre las agencias de ACTION y la Law Enforcement Assistance Administration (LEAA). El diseño del UCPP y la gerencia programática son responsabilidades compartidas por ambas agencias. Aunque se han encontrado y desarrollado elementos comunes entre las agencias, respecto a este programa, la misión y función del mismo carecen de unión integral. Las experiencias de ACTION en cuanto a reclutar voluntarios tanto como en organizar comunidades, se unirán a la experta experiencia de la LEAA en el campo de la prevención del crimen adquirida durante sus diez años de existencia. La LEAA aportará \$5.5 millones en fondos durante el año fiscal de 1979 para el desarrollo de dicho programa.

No existe la menor intención de duplicar, ni causar conflicto con los esfuerzos ya existentes para la prevención del crimen en las comunidades. Este programa está diseñado para complementar y expandir lo que al presente se está llevando a cabo.

El proposito de esta guia es asistir a los solicitantes en la preparación de aplicaciones para el UCPP proveyendo información detallada sobre los objetivos, la estructura y las clases de los modelos del programa que será otorgado.

Especificamente se establece esta guia en la siguiente manera.

- Se define las metas y los objetivos del UCPP.
- Se presenta información que demuestra como la UCPP es nueva y diferente, mientras se utiliza la experiencia de proyectos existentes.

- Estimula el pensamiento en cuanto a la relación entre revitalización, vecindaria, el desarrollo de organización comunitaria, la prevención del crimen, y la cooperación urbana, que son elementos esenciales en el UCPP.
- Se delinea una serie de proyectos modelo de entre los cuales los solicitantes pueden escoger para el desarrollo de sus solicitudes.
- Se describen los elementos claves de las operaciones y estructuras del programa.
- Se presentan criterios de eligibilidad y selección que se aplican a los solicitantes.
- Se incluye apéndices sobre las reglas y guías generales y específicas para asistir a los solicitantes en la preparación de la parte fiscal de la propuesta.

#### REFERENCIAS

(1) "Urban Policy Message" discurso pronunciado por el Presidente Carter el 27 de marzo de 1978 y referido al comité de la Casa Blanca en el mensaje sobre el estado de la Unión, el congreso número 95, segunda sesión - House document 95309.

(2) "A New Partnership to Conserve America's Communities: A Status Report on the President's Urban Policy", junio de 1978.



## CHAPTER I

### GOALS AND OBJECTIVES

#### I. INTRODUCTION

The principle goals of the UCPP are to increase neighborhood participation and problem-solving capacity and to forge a working partnership among neighborhood groups, criminal justice agencies, and other public/private sector institutions in new community crime prevention efforts. Components of these broadly stated goals are innovative approach, neighborhood orientation, and partnership, and are interrelated rather than separable, and reinforcing rather than conflicting.

##### A. Innovative Approach

Funds provided by the UCPP will support projects in low and moderate income neighborhoods. Projects developed must be responsive to identified priority needs that can be linked with crime in urban area neighborhoods.

###### 1. Objectives

Several objectives have been established that provide direction to the innovative approach envisioned for the UCPP. These objectives are set forth in the following:

- a. To encourage projects that have not received significant emphasis in past federal funding.
- b. To promote projects that expand the focus of attention beyond the actual commission of a crime to include the social and economic factors that are directly associated with criminal activity.
- c. To generate activities that provide for adoption of project models, suggested project areas, and locally initiated projects that are consistent with the program's goals and objectives.

###### 2. Discussion

During the past decade the federal government, largely through the Law Enforcement Assistance Administration (LEAA), has undertaken major efforts to reduce crime and improve the quality of justice. Such efforts have resulted in significant improvements, which include improved burglary

prevention, highly sophisticated law enforcement technology and techniques, and efforts to coordinate criminal justice planning. Also, the LEAA has fostered new leadership in criminal justice, mobilized previously untapped resources, and encouraged experimental efforts targeted at the nation's crime problems. More recently, the LEAA Office of Community Anti-Crime Programs has been responsive to the important role of neighborhood residents in combatting crime. The UCPP builds on this tradition, which stresses community-based approaches to crime prevention and seeks to extend it to projects that have not received substantial federal support previously.

This extension is predicated on an expanded concept of both crime and crime prevention. While street crime produces an atmosphere of fear and distrust, arson, unemployment, and conflict can do the same. Moreover, these problems that directly affect the economic and social quality of neighborhood life are usually part of local conceptions of crime. If left unchecked, such problems tend to discourage local initiative and perpetuate frustration.

Neighborhood perceptions of the most serious local crime problems may not coincide with official crime rates or crime prevention priorities. Such perceptions may be influenced by concerns with crimes that victimize the neighborhood as a whole and its reputation, or with those crimes over which residents feel strongly they should have some control. For example, the areas of delinquency among minors and certain types of property destruction fall into these categories.

While no neighborhood is exempt from crime, local areas with strong social networks, committed residents, and informally enforced standards of behavior experience less crime and fear. When these features of neighborhood life deteriorate, residents are less able or willing to participate in solving their crime problems. Projects that address socioeconomic factors will enhance effective community crime prevention efforts that the criminal justice system cannot adequately influence alone. For example, it is difficult to implement a neighborhood watch program in areas where distrust, apathy, and isolation prevail. Neighborhood dispute settlement projects can mend breaches in the wall of community cohesion and enhance people's attachment to an area. Projects that address violent behavior in the family and school can renew faith that standards of behavior are being adhered to in neighborhood areas. They can also improve and strengthen a sense of control over the stability and security of neighborhood life.

B. Neighborhood Orientation

The primary goal of the UCPP will be to support neighborhood-based projects that will increase participation in and problem-solving ability among neighborhood groups. This should not be interpreted as excluding all but neighborhood groups from being project organizations. Some projects may be developed and carried out by other urban elements, both public and private, providing they conform to the goals and objectives of the UCPP. However, a majority of the project organizations must be neighborhood type groups.

1. Objectives

Specifically, the UCPP's key objectives are to:

- a. Decrease the fear of crime among residents.
- b. Increase a sense of responsibility for dealing with crime among residents.
- c. Increase residents' perception of the importance of neighborhood groups in crime prevention.
- d. Increase the number of neighborhood groups that work with a broad-based Advisory Council and are engaged in community crime prevention, including new or fledgling groups and those not previously involved.
- e. Increase the financial and managerial competence of neighborhood groups to conduct a funded crime prevention program.
- f. Increase the ongoing ability of neighborhood groups to define and analyze local crime problems, develop solutions, and implement projects designed to combat such problems.
- g. Increase the ability of neighborhood groups to work in partnership with other private and public sector organizations and agencies on crime prevention efforts.
- h. Achieve substantial volunteer participation by residents in UCPP funded projects.
- i. Create new roles for and effectively utilize the talents of volunteers in the operation of crime prevention programs.
- j. Increase cohesiveness among neighborhood residents through efforts directed at preventing criminal activity.

## 2. Discussion

A decline in community cohesion means residents become less active in addressing a broad range of local problems. This, of course, has an adverse impact on the degree of community involvement in crime prevention activities. Strong, unified neighborhoods, on the other hand, are an effective crime deterrent because they are likely to facilitate participation in prevention efforts. Such neighborhoods tend to possess and are a product of groups that ably represent the concerns of local residents, mobilize them into common endeavors, and assist in providing them with needed services. Prevention activities that enhance the problem-solving capacity of neighborhood groups should, to the extent they increase neighborhood cohesion, help in preventing criminal activity. The UCPP is guided by the fact that effective community crime prevention projects, in order to have a lasting impact, must strengthen neighborhood groups which operate them. The UCPP is committed to supporting and increasing neighborhood organizational capacity in conjunction with the funding of crime prevention projects. The duality of building neighborhood groups and preventing crime is central to the UCPP.

Recent studies of the way neighborhood groups cope with crime suggest that the most sustained efforts are generally carried out by groups with broad concerns for the neighborhood. Many neighborhood groups are already doing something about crime without the benefit of public funds. Most groups that have anti-crime efforts are also addressing other priority issues in their neighborhoods. Groups that deal solely with crime tend to generate less sustained contributions. For multi-issue groups, crime is one of a number of problems that groups address simultaneously or serially. Crime must compete for the neighborhood's resources with other pressing problems. In any event, UCPP funds can be utilized only for activities directly related to crime prevention. Under no circumstances can funds provided be used to support other neighborhood priority issues. However, this additional capability in crime prevention adds significantly to overall community vitality.

As a result of the multi-issue character of most neighborhood groups that engage in anti-crime activities, people who participate do so for a wide variety of reasons most of which have nothing to do with how they perceive crime. Once people become active in a neighborhood group, the chances are they will participate in any community crime prevention activities of that group. The important goal is to get people involved in organized community life of the neighborhood, to see interests shared, and to view solutions as joint endeavors.

The UCPP emphasizes the development and implementation of projects that take into account the social and economic factors related to crime. There are certain aspects of crime problems that are closely tied to such factors and to the failure of neighborhoods to organize collective action to address them. The UCPP seeks to generate and integrate collective neighborhood action with prevention efforts targeted at socioeconomic factors associated with identified crime problems.

C. Partnership

The UCPP will require neighborhood groups to work in partnership with each other and with a broad range of private and public interests. Such interests will include the mayor,\* or his or her designated representative, and criminal justice officials. Project organizations that are not considered neighborhood groups must work in partnership with such groups, and other public and private interest groups, to achieve UCPP goals and objectives.

1. Objectives

The specific objectives of this partnership for all project organizations are to:

- a. Insure the input of a wide range of expert advice, data, and support in the planning and implementation of neighborhood crime prevention projects.
- b. Assure the cooperation and support of urban government and other interests in carrying out intended crime prevention efforts.
- c. Avoid duplication or conflict of prevention activities among projects being developed in the UCPP and other urban crime prevention efforts.
- d. Set in motion a process of coalition-building that, over a period of time, will define mutual interests and forge cooperative relationships for initiating future crime prevention projects.

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\* Wherever the word "mayor" is used in this guidebook it refers to the mayor or the highest elected city official in cities without mayors.

## 2. Discussion

The establishment of a "New Partnership" is required by the President's Urban Policy Message and is an important aspect of the UCPP. Neighborhood group participation is essential in order to maximize crime prevention efforts in urban areas. Also important is the participation of other private or public groups in activities designed to address crime problems. Any serious attempt to prevent crime must be a unified effort with maximum utilization of available resources.

Neighborhoods are not islands, but interrelated parts of an urban area. The success of one neighborhood in procuring public resources may, in some circumstances, deprive another neighborhood of similar resources. The problems that affect one local area may be shared with others. Also, the efforts to solve these problems in one location may have rippling effects beyond its boundaries.

Most significantly, the causes of many local problems frequently lie beyond the neighborhood within which they are keenly experienced. In addition, the resources to address these problems frequently lie beyond it as well. Few local problems of any magnitude can be solved in isolation of the larger urban community. Paradoxically, neighborhood self-reliance emerges to some degree out of the reliance on the expertise, support, and assistance (financial or otherwise) of others.

Finally, neighborhood efforts that are conceived and conducted in isolation of the larger world may face the self-defeating prospect of wastefully duplicating or conflicting with other efforts.

These concerns are especially important in crime prevention, where the community is considered a fourth dimension to the criminal justice system along with police, courts, and corrections.

The inescapable interaction between neighborhoods, the external causes of locally perceived problems, the availability of valuable resources beyond the neighborhood to solve them, and the need for coordination all underscore the importance of partnership in community crime prevention. Consequently, the UCPP will promote the participation and cooperation of a broad range of public and private interests in the planning and ongoing operations of funded programs. This will primarily be accomplished through the establishment of an Advisory Council in conjunction with local grantee efforts. However, it is expected that some projects developed may reach beyond the membership of the Advisory Council and include other interest groups that are not represented on the Council.

## CHAPTER II

### STRUCTURE AND OPERATION

#### I. INTRODUCTION

The UCPP will fund up to 15 programs in cities of 150,000 or greater in population. The basis for establishing the population size of a city will be either the 1970 Federal Bureau of Census figures, or a subsequent projection by the Bureau of Census. Grants will range in size up to \$500,000 for an 18-month grant period. Grants awarded under the UCPP will not require a matching contribution.

The program's organizational structure at each of the local levels will operate through a grantee, its Advisory Council and project organizations. Each grant will be used to make allocations of up to \$50,000 each to 5 to 15 project organizations. The project organizations must use the allocations to conduct crime prevention projects.

Administrative costs associated with the grantee's overall management should not exceed 20 percent. The UCPP anticipates that generally these costs will be less. An important criterion in reviewing applications will be the extent to which the proposed administrative costs are minimized without sacrificing program quality. The remaining grant funds will be used to cover the administrative and operational costs of the projects.

While the UCPP will provide overall assistance and direction to all projects in the areas of technical assistance, program evaluation and training, grantees and project organizations will also be involved in carrying out these functions.

#### A. Local Level

The organizational structure through which each local program must operate consists of the following:

##### 1. The Grantee

The grantee must be a private nonprofit corporation with legal responsibility for administering a UCPP grant. It must have the demonstrated capacity to work with both public agencies and neighborhood groups. It is expected that the grantee will only administer the grant and overall program. However, where a compelling justification exists, the grantee

or its subsidiary may operate as a project organization. The grantee will be the key factor in developing a set of working relationships between project organizations, municipal and county officials, criminal justice officials, and other public and private groups. (See Chapter V for a more detailed explanation of eligibility criteria for grantees and the appendices for a more detailed explanation of grantee responsibilities.)

A potential grantee is responsible for developing the UCPP grant application, the major part of which will describe the number of project organizations and the crime prevention projects each will carry out in a specific urban neighborhood. The proposal must be based on systematic project planning and incorporate relevant crime and demographic data as well as other supporting information. In developing its application, the potential grantee must consult with a wide range of interests to assess specific crime problems, attract potential project organizations, and design appropriate crime prevention projects. During this process, the potential grantee will identify Advisory Council members. While the dynamics by which an Advisory Council is established and the extent to which it has been formally organized and convened prior to an award are the decision of an applicant, persons agreeing to serve on the Advisory Council should, to the fullest extent possible, contribute to the development of a proposal. All Advisory Council members, however, need not have participated directly in this process.

The grantee will be responsible for overall administrative supervision and coordination of project activities and the fiscal management of the project organizations' budgets. The grantee will provide appropriate administrative support services. It will also coordinate with the UCPP staff to ensure adequate training for project organizations. It will also comply with grant reporting requirements as established by the UCPP.

A grantee may directly transfer funds and fiscal management of a project to a qualified project organization. In this case, the grantee will still retain ultimate responsibility for the grant. The instrument for such a transfer will be a binding written agreement between the grantee and a project organization. Where a grantee intends to establish such a relationship with a project organization at the outset of the grant period, it must submit as part of its application:

1. A copy of the proposed binding agreement that will be used;

2. The method of funding (advance or reimbursement) that will be used to support the agreement; and
3. A description of the process that determined the recipient project organization's financial management capability and fiscal capacity to administer the federal funds involved in the agreement adequately and appropriately.

Some project organizations may not initially have the capacity to receive and manage project funds directly, but with the grantee's assistance may achieve it at some later point during the grant period. When these project organizations have developed the appropriate capacity, and prior to the signing of a binding agreement with them, the submissions listed above should be transmitted for approval to UCPP as part of a grant amendment.

2. The Advisory Council

The Advisory Council must consist of a broad range of public and private interests to assist in planning and conducting the grant.

The Advisory Council should reflect the program's goal of forging a partnership of citywide resources to support neighborhood crime prevention. The mayor, or his or her designee, and a representative of each awarded project organization must serve on the Advisory Council. Other members will be drawn from the following groups or interests:

- a. Volunteer citizen organizations
- b. Social or human service agencies
- c. Criminal justice agencies
- d. Labor and business organizations
- e. Public interest organizations
- f. County and other appropriate public agencies' representatives
- g. Others as deemed appropriate.

While the specific duties, organization, and responsibilities of the Advisory Council should be the decision of the grantee, the broad responsibilities of the Council will include:

- (1) Providing policy and program guidance to the grantee;

- (2) Providing general oversight on matters of program implementation and maintenance, including involvement in the monitoring and evaluation processes of the grant and in the review of project organizations;
- (3) Providing, through its members, liaison with and access to public and private agencies whose assistance would be useful in carrying out the program's objectives;
- (4) Publicizing the grant in the broader community;
- (5) Serving as a forum in which information can be exchanged, mutual interests defined, and cooperative relations established among members.

Grant applications will be evaluated in terms of the breadth and representativeness of the Advisory Council membership and the degree of their expertise in areas relevant to the program.

### 3. Project Organizations

Project organizations will for the most part be neighborhood groups, which typically are local community organizations but can include other neighborhood elements such as churches, business associations, parent/school groups, community centers, local ethnic associations, or tenant organizations. Project organizations must conduct crime prevention projects located in and operated for the benefit of specific neighborhoods.

While the majority of project organizations must be neighborhood groups, public sector agencies are also eligible. The decision on the balance between private and public sector participation resides with the grantee and should grow out of its local analysis and planning, in consultation with Advisory Council members and other sources of expertise. Project organizations which are from the private sector must be nonprofit organizations, but it is not a requirement that they be incorporated.

Grantees will provide funds for project organizations to conduct crime prevention projects that are located in and operated for the benefit of specific low or moderate income neighborhoods. These projects must involve neighborhood residents in the development and implementation of their activities. Neighborhood residents must actually participate in all projects rather than merely being served by them.

Evidence must be provided in applications that the neighborhoods in which crime prevention projects operate are real residential localities and not artificial designations. Such evidence must consist of the area being known by a given name, having generally agreed upon boundaries, having some historical continuity, and/or having a territorial group that bears its name.

B. Allocation of Grant Funds

The allocations to project organizations may vary in size up to \$50,000. A minimum of 60 percent of a grantee's project funds must be devoted to one or more of the project models described in Chapter III. A higher proportion of project funds may be allocated to the project models if desired. Up to 40 percent of project funds may go to the suggested projects, mentioned in Chapter III, or to locally initiated projects.

Normally only one allocation will be made in a neighborhood. Allocations to more than one project organization in a specific neighborhood, however, will be permitted where a compelling justification is made in the grant application and where each organization indicates its willingness to cooperate with the other. Two or more project organizations in the same neighborhood can not run the same type of crime prevention project. Only one allocation of up to \$50,000 will be made to a project organization. Typically, an allocation will fund one type of crime prevention project, although a project organization with sufficient justification may undertake more than one type of project.

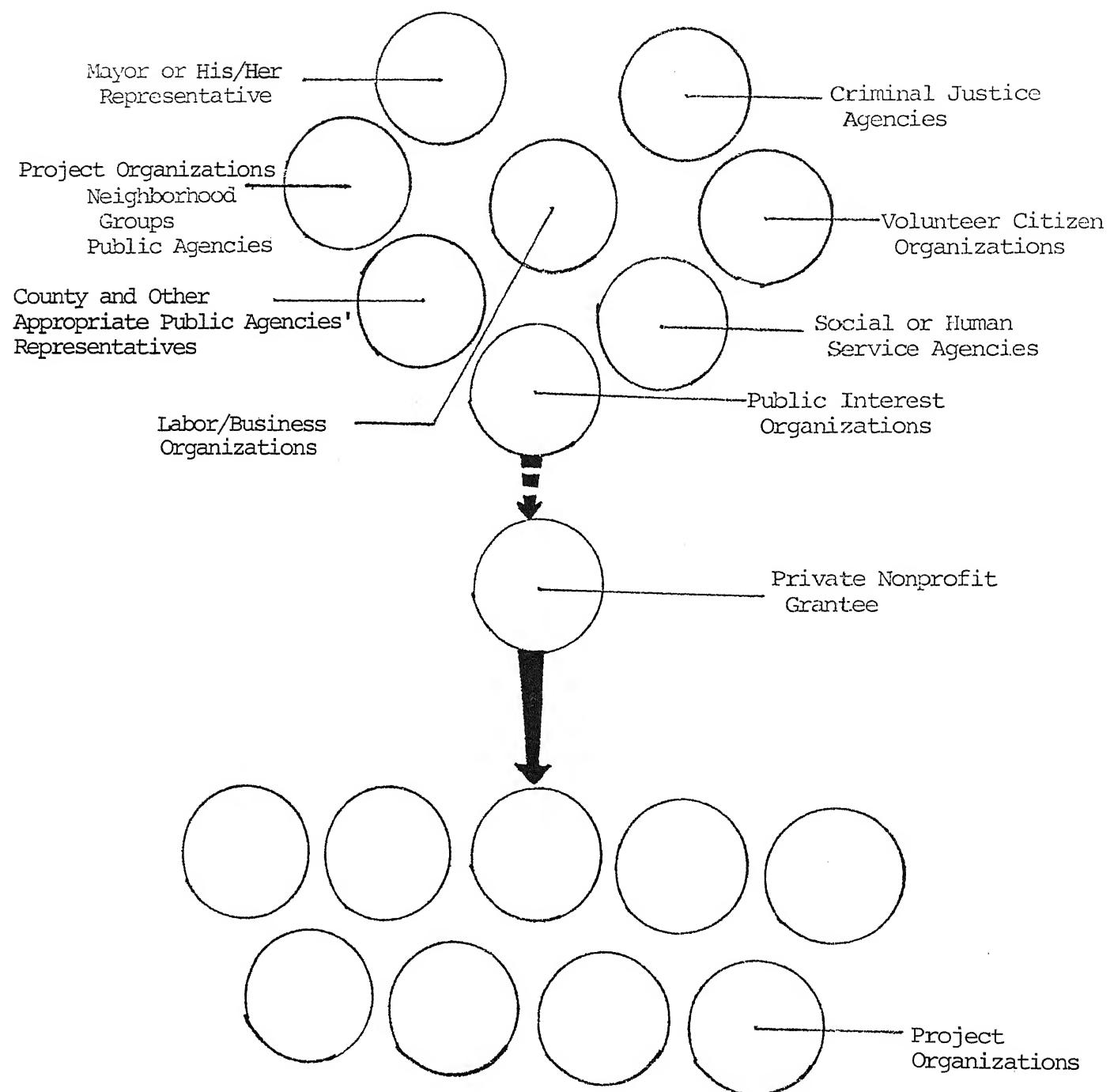
While the fiscal relations between the grantee and project organizations must comply with the regulations for the UCPP, they can to some degree be tailored to the capacities of the project organizations. Some project organizations can be given allocations and administer their funds directly with some administrative backup from the grantee. In such cases, the project organizations would have to demonstrate experience in administration and fiscal management. In other cases the grantee may handle funds and administration for the project organizations in at least the initial stage of the project. In such cases, the grantee should develop a timetable and training schedule for delegating more responsibility to the project organizations.

Several project organizations may wish to share certain staff and facilities. Such arrangements are appropriate where project organizations intend to engage in the same or complementary projects. Project costs might thereby be reduced.

The relationship among the entities at the local level is diagrammed on the following page.

UCPP ORGANIZATIONAL ELEMENTS

Advisory Council



C. Grant Assistance and Requirements

Provisions will be made at the federal level in each of the following areas:

1. Technical Assistance

Technical assistance will be available to grantees and project organizations and may be provided by federal level UCPP staff and national contractors. It is anticipated that this assistance will focus on project management, community organizing, and crime prevention techniques.

2. Evaluation

All UCPP projects will be evaluated by an independent contractor who will assess the degree of success in achieving goals and objectives specified in the grant application. Grant applicants must agree to cooperate with evaluation contractors to ensure general conformance with the overall national evaluation.

3. Monitoring and Reporting Requirements

UCPP staff will monitor projects to assess compliance and effectiveness as related to the overall program requirements and grant application's expectations.

Monitoring will include both required quarterly financial and narrative progress reports and on-site visits.

4. Training

Although grantees are responsible for the planning and delivery of training for project organizations, volunteers, and Advisory Council members, and while project organizations will train volunteers in project-specific activities, the UCPP staff and technical assistance contractors will provide assistance through the development of a national training effort common to all grant sites.

## CHAPTER III

### MODELS, SUGGESTED PROJECT AREAS AND LOCALLY INITIATED PROJECTS

#### I. INTRODUCTION

The principal means to further the UCPP goals and objectives will be the use of successful models, suggested project areas and locally initiated community crime prevention projects. The UCPP will emphasize projects that address local crime problems of special concern to low and moderate income neighborhoods, have not received substantial federal support to date, and complement other federal anti-crime programs. To encourage experimentation with new approaches, this guidebook describes several project models and areas that are consistent with the overall goals and approach of the UCPP. Each merits careful consideration by potential grantees and project organizations.

Project models are presented in four particular areas and predicated primarily on efforts that have been tried successfully in the past, but have not in their proposed form received major federal funding. Every grant application must reflect that a minimum of 60 percent of its proposed funds will go toward implementing one or more of these models. A higher proportion of project funds may be allocated to the project models if desired. A maximum of 40 percent of project funds will be available for the suggested project areas listed or for any locally initiated project that is not listed in this guidebook, addresses an important local crime problem, and is consistent with the UCPP's goals. The discussion of each model begins with a rationale for the model, indicates some basic elements that must be found in projects of this type, and outlines a number of options among which individual project organizations can choose in tailoring projects to their respective needs. Finally, the guidebook includes brief discussions of experiences that are useful in thinking through the project elements and options.

The models leave considerable room for local variation and adaptation to local needs as determined through planning and a review of data. It is expected that two project organizations utilizing a common model may, in some respects, be quite dissimilar.

As indicated previously, the UCPP also includes a number of suggested project areas which grantees and project organizations are encouraged to consider when developing projects. These project areas are consistent with the overall goals and emphases of the UCPP. Since the UCPP provides fewer initial guidelines in these areas, more local creativity on the part of applicants is expected in developing these potential projects.

The UCPP encourages the local community to develop its own locally initiated crime prevention projects in areas that have neither been addressed by the four proposed models, nor by the suggested project areas. Such local projects must be consistent with the goals and objectives of the UCPP.

A. Common Characteristics of All Projects

All UCPP projects must include the following characteristics.

1. They must be carried out at the neighborhood level by project organizations.
2. They must be based on the substantial participation of those who live or work in the local area.
3. They must include volunteers in key roles.
4. They must address important crime problems of a locale.
5. They must be developed in light of, and seen as a part of, broader efforts to address neighborhood problems while addressing the issues of crime prevention.
6. While the projects must deal with crime prevention, and must have the effect of strengthening the long-term capacity of neighborhood groups to address local crime problems, they must also improve neighborhood life generally.
7. They must foster working relations with urban resources that can assist in developing and implementing these local crime prevention projects.
8. While all projects must emphasize neighborhood action, a limited amount of funds may be used for research, data gathering, and conferences related to crime prevention and the overall objectives of the program.

In addition to neighborhood groups, public agencies that satisfy these project elements may be project organizations.

B. Project Models

1. Community Dispute Settlement Project

a. Rationale

For a variety of reasons many disputes are not reported to the police, nor is resolution sought through the courts. Among the reasons is the belief that the criminal

justice system will not be able to provide a remedy for the individuals involved. A police report that leads to a prosecution of an offender may be viewed as requiring too much time and involving long delays. Also, many victims do not report offenses because they fear reprisal if they make a formal report to authorities.

It has been demonstrated that for a wide range of minor disputes, particularly those between people who have an ongoing or prior relationship, a more informal process of dispute settlement may be more efficacious and satisfying. In addition, court officials often see the removal of many such cases from crowded criminal court dockets as a way of reducing delays and case load pressures. Disputes involving parties with a prior relationship frequently end in dismissals or in dispositions that can only address a part of the complex issues involved in the case. The successful resolution of such disputes can prevent their recurrence and the more serious violence and property destruction that sometimes emerge from them.

b. Project Elements

Projects under the Community Dispute Settlement model must have the following characteristics:

- (1) Projects must coordinate their activities with the prosecutor, court, and police.
- (2) Projects must hold discussions with appropriate authorities about accepting referrals from the criminal justice system or other appropriate public or private sources. It is expected that the projects will have at least some disputes referred to them from criminal justice agencies.
- (3) The dispute resolution must take place locally in the neighborhood.
- (4) The principal third parties in the dispute settlement hearings must be people who live or work in the neighborhood.
- (5) Projects must accept disputes that might be defined as minor crimes.
- (6) Participation by disputant parties must be voluntary.
- (7) Settlements must be based on voluntary agreement by the parties.

c. Project Options

Some of the options are as follows:

- (1) Consideration may be given to the source of disputes accepted or encouraged by the project. Projects may rely on referrals from the criminal justice system or from other public or private agencies, or take disputes directly from the community. UCPP expects projects to mix all three sources of disputes.
- (2) Consideration may be given to the types of disputants that can be accepted or encouraged. Projects may accept parties of all kinds or limit themselves to certain types of disputants. For example, a project may decide to require that one or both of the disputants be youths, or live in the neighborhood, or that the disputants have a prior relationship.
- (3) Consideration may be given to the types of disputes that could be accepted or encouraged. Projects can accept a broad range of dispute types or specialize in a particular type or types of disputes.
- (4) Consideration may be given to the type of settlements achieved through projects. All programs must provide for the disputants to agree voluntarily to the settlement. Settlements may involve oral or written apologies/agreements, individual or community restitutions and other appropriate remedies.
- (5) Consideration may be given to the utilization of bilingual interpreter services. Provisions for translations where non-English speaking parties are involved would increase the breadth of populations that could participate in the project.

d. Experiences

While the UCPP stresses the importance of local residents and workers in the projects, most successful projects have also utilized a staff that may or may not live in the neighborhood. Project staff may be necessary to develop a project, mobilize the community, and administer an office. Every project, however, must demonstrate that community volunteers will play a key role, at least in the hearing process, and eventually in all aspects of the project from intake of disputes to follow-ups on settlements. The UCPP is interested in creating new competencies among community people.

Experiences of existing alternative dispute settlement projects indicate that it is easier for projects to acquire a larger number of cases if they rely heavily upon referrals from the courts and other agencies than if they seek to obtain cases from the community.

All community dispute resolution projects will need to develop a working relationship with the criminal justice system. Without the approval of prosecutors, judges, police, and other agencies, a dispute settlement program is unlikely to be able to function.

An interim evaluation of the Department of Justice's Neighborhood Justice Centers has emphasized the importance of an intensive outreach effort to educate community residents about the availability and value of the community dispute settlement alternative. Only with such efforts can projects expect to obtain disputes directly from the community.

Existing studies suggest that community based dispute settlement projects will start slowly and involve high levels of community organizing and education in the initial stages. In our society, people are not accustomed to thinking in terms of third party alternatives other than courts for dealing with interpersonal disputes. The assistance of the basic institutions of the neighborhood--the churches, social and service clubs, schools, and community groups is key to developing a successful project.

Community dispute settlement projects are particularly appropriate in situations that involve people in an ongoing relationship. The UCPP expects all community dispute resolution projects to accept at least some types of cases involving people with prior relationships, but some projects may also seek to accept certain types of disputes where no such relationship exists.

Training of third party participants in the dispute settlement process is a key element to the success of the project. Areas of training include mediation skills, how to conduct a hearing, how to bring about voluntary agreements, and how to follow-up on settlements reached.

For additional reference to dispute settlement models, applicants are encouraged to consider the experiences of the following:

(1) The Neighborhood Justice Centers

The U.S. Department of Justice has sponsored Neighborhood Justice Centers in Atlanta, Kansas City, and Los Angeles. The grantee was different in each of the three sites. In Los Angeles a bar association was the official grantee; in Kansas City, the city government; and in Atlanta, a private corporation. The projects also vary in the degree to which they get cases from the criminal justice system or the community, the degree of involvement by neighborhood residents in the planning and implementation of the center, and the types of cases and resolutions that are most common.

(2) The Community Boards Program in San Francisco

This project relies primarily on obtaining disputes directly from community residents who appear voluntarily before a five-member panel of residents. The panel works with the disputants to find a mutually acceptable settlement. Initial organizing, case intake, and follow-up is carried out largely by a trained staff. The initial case load of the Community Boards Program was small, but has begun to increase as residents have become aware of the project. It has received assistance from a broad cross section of neighborhood and citywide organizations and has trained a dedicated cadre of resident panelists.

(3) The Institute for Mediation and Conflict Resolution (IMCR)

In New York, the IMCR has established dispute resolution centers that accept referrals from the police, criminal courts, and walk-ins. One distinctive technique that it uses is to ask the parties to abide by an arbitrated agreement, which is then enforceable in the State civil courts. Recourse to such enforcement is uncommon, however, since parties are generally satisfied with outcomes and abide by them.

(4) The Dispute Center of the Community Assistance Project (DCCAP)

In 1970 the staff of DCCAP in Chester, Pennsylvania began assisting disputants in resolving disputes. In 1973 a formal arrangement was worked out to receive referrals from the criminal court. The typical hearing involves first meeting separately with each party, then bringing the parties together. If no agreement can be reached, the case is referred back to the court. If an agreement is worked out, it is written up, signed by both parties, notarized, and sent to the court. The community mediators periodically check to see if the agreements are being kept.

2. Arson Project

a. Rationale

Arson is one of the fastest increasing serious crimes in urban America. Over the last decade, arson is estimated to have increased by 325 percent. One out of every three fires throughout the country falls into the suspected arson category. Losses due to such criminal activity can be traced to unemployment, increased insurance rates, higher taxes, lost revenue, etc., in urban areas. It is estimated by the insurance industry that losses total approximately \$4 billion a year and account for about 40 percent of all property losses. In addition, approximately 1,000 lives are lost each year, and 10,000 more people are injured.

Although exact statistics are unavailable, arson-for-profit is believed to be a significant part of the problem. A major effort is now underway by LEAA and the U.S. Fire Administration to address the arson problem. This effort emphasizes the training of fire and police officials, and the coordination of law enforcement and municipal activities. The UCPP will complement this effort by supporting the involvement of neighborhood groups in dealing with arson problems in their areas.

b. Project Elements

Projects under the Arson model must have the following characteristics:

- (1) Projects must document with data the seriousness of arson in a specific neighborhood.
- (2) Projects must develop strategies to reduce both the opportunities and incentives to commit arson.
- (3) Projects must demonstrate how their efforts to fight arson will lead to a reduction in such criminal activity.
- (4) Projects must be able to demonstrate how their efforts will fight both arson and neighborhood deterioration.
- (5) Projects must work in conjunction with appropriate authorities (i.e., fire and police officials, insurance companies, building inspectors, etc.), in identifying potential arson sites and prevention programs.

c. Project Options

Some of the options that applicants may consider are the following:

- (1) Research teams may be established to investigate the history of certain buildings that may present an arson problem.
- (2) Where arson-for-profit is a major problem, project organizations may develop information on specific high risk buildings. Once such buildings have been identified, groups may communicate to appropriate authorities that they are aware of possible arson-for-profit situations and alert residents of the area. They may inform the owner or owner's insurance company of the high risk and encourage them to communicate their awareness to the policy holder.
- (3) Project organizations may seek to reduce opportunities for arson by developing surveillance patrol mechanisms, i.e., fire-watch teams, conducting campaigns geared to educating residents about the nature of the problem, recruiting tenants, and encouraging the reporting of suspicious arson related activities to appropriate authorities.
- (4) Relocation teams may provide nonmonetary assistance to fire victims.
- (5) Pamphlets may be prepared and disseminated to residents.
- (6) Residents may act as liaison to local arson investigators by supplying pertinent fire related information, (i.e., housing inspection records, building department violations, and real estate transactions) to combat this crime.

d. Experiences

Most arson takes place in low income neighborhoods, especially where there are abandoned buildings. Arson provides an opportunity for local residents and groups to work in close cooperation with police and fire officials on a common community goal. In this instance, efforts to fight a major crime problem are closely connected with the central concern of neighborhood groups with the problem of neighborhood deterioration.

A neighborhood group called STOP (Symphony Tenants Organizing Project) in Boston, researched the history of buildings and identified the situations with a high arson incentive. These situations existed where buildings had high repair costs, mortgage payments, and taxes in relation to rents. Buildings were often sold and resold to increase their paper value and insurance coverage.

STOP brought this pattern to the attention of the state's attorney general. Thirty-three persons were ultimately arrested in connection with arson-for-profit.

When buildings become abandoned or become liabilities due to high repair costs, mortgage payments, and/or taxes in relation to rent income, there is the potential of arson either for-profit or by vandalism.

3. Project to Reduce the Impact of Property Crime Victimization

a. Rationale

A significant portion of crime within urban neighborhoods involves crimes against property. A number of community crime prevention projects have sought to reduce the incidence of such crimes by educating citizens about protective measures that they can take as individuals or groups.

An aspect of such crimes that has not received any significant attention to date is the impact that these offenses have on the availability of robbery, burglary, theft, vandalism, and arson insurance. Without the availability of such economic protection the consequences of being a victim and the long-term detriment to the total neighborhood are greatly increased.

Successful efforts by neighborhood residents to reduce property crimes should increase the availability of insurance and thereby help to revitalize the neighborhood, improve the local opportunities for employment, and enhance the safety and quality of neighborhood life.

When insurance providing protection from losses due to crime against property is systematically denied, businesses and individuals have greater reluctance to purchase property or locate in a given area or they have greater incentive to leave. These conditions contribute to the general decay of a neighborhood.

b. Project Elements

Projects under the model to Reduce the Impact of Property Crime Victimization must have the following characteristics:

- (1) Projects must be community based and must systematically gather data on the seriousness of the problem of insurance unavailability, the factors contributing to the problem, and appropriate alternatives to deal with the problem.
- (2) Projects must extensively document the problem. Such information may be obtained from many or all of the following sources: case histories of neighborhood residents and businesses; coordination with insurance companies; analyses of insurance statistics, studies, and trade association publications; records of state departments of insurance; fire department records; police records; and contacts with local small business associations. The documentation must establish that there is a relationship between the problem and crime.

- (3) Projects must find ways to involve community people in the development and implementation of strategies to address these problems.
- (4) Projects must describe how actions on this problem are part of a more comprehensive strategy to enhance the neighborhood through related neighborhood improvement activities and crime prevention.

c. Project Options

Some of the options that applicants may consider are the following:

- (1) Applicants may focus on one or all of the following types of insurance:
  - (a) Homeowners'
  - (b) Tenants'
  - (c) Commercial theft and/or fire
  - (d) Automobile theft.
- (2) Applicants may develop different programs to ameliorate the problem depending on the type of insurance targeted and the nature of the unavailability problem. Among the options that groups may want to consider are:
  - (a) Providing information on applying for federal theft insurance, fair plans, or other alternative insurance programs.
  - (b) Working with neighborhoods and business associations to ameliorate the problems and remove the obstacles to obtaining crime and fire insurance in certain areas, including working with insurance companies to increase the chances of obtaining insurance.
  - (c) Developing community programs to reduce the incidence of robbery and property crimes that is linked to obtaining or dealing with the inability to obtain theft and fire insurance in a neighborhood.

d. Experiences

A number of community groups and agencies have worked on one or more aspects of this problem.

- (1) In Michigan, a statewide coalition has been working with legislators and local groups to implement a new law-making, areawide denials of insurance illegal.
- (2) A coalition of business and neighborhood groups in northwest Detroit is documenting the unavailability of commercial insurance and its effects on the decline of a business strip.
- (3) In Chicago, four neighborhood groups have successfully negotiated with one major insurance company to change its policy coverage and make property insurance more available to homeowners.

Such experiences have demonstrated the ability of community volunteers with sufficient training to survey residents and business people, and to get them involved in a community effort to find solutions to prevent crime and improve the quality of life in neighborhoods.

4. Community Victim and Witness Project

a. Rationale

In recent years there has been a growing awareness of the failure to deal adequately with the interests and needs of crime victims and witnesses. Such conditions contribute to the problem of victim/witness noncooperation in reporting, investigating and preventing crime. These conditions, in turn, can result in lower arrest and conviction rates. Victims/witnesses often feel that their concerns are not routinely elicited or given serious consideration in criminal justice decisions.

There is a strong movement underway to promote a more equitable treatment of victims and witnesses by society in general and the criminal justice system in particular. Proponents of the movement express concern that the welfare and rights of the victim/witness are being neglected and that it is now time to change this situation.

At present, there are a considerable number of victim/witness programs, but these infrequently involve neighborhood-based programs with key roles for volunteers. Neighborhood-based programs can provide an opportunity to assist specific victims and witnesses and to work to improve the more general practices of criminal justice agencies that affect the community of victim and witness.

b. Project Elements

Projects under the Community Victim and Witness model must have the following characteristics:

- (1) Projects must document the extent and nature of the problems victims and witnesses who live in a specific neighborhood are encountering as a result of their victimization or participation in the criminal justice process.
- (2) Projects must show a willingness to cooperate with relevant criminal justice agencies.
- (3) Projects must address the interests and needs of victims and witnesses of crime.

- (4) Projects must be located in specific neighborhoods and must focus on promoting the interests and needs of victims and witnesses who live or work in those areas.
- (5) Projects must incorporate community victims' and witnesses' needs and those of the criminal justice system to obtain victim/witness cooperation.

c. Project Options

Some of the options that applicants may consider are:

- (1) Emphasis on the social, emotional, or economic needs of individual victims and witnesses. Such needs may be met by the following programs:
  - (a) Crisis intervention services
  - (b) Property return programs
  - (c) Court escort services
  - (d) Witness notification services
  - (e) Child care services
  - (f) Assistance in filing for victim compensation and restitution
  - (g) Assistance in obtaining other social services
  - (h) Emergency repair services.
- (2) Advocacy for victim/witness interests in the processing and disposition of cases. Such advocacy may be promoted through the following methods:
  - (a) Victim/witness opinions on delays, dismissals, and continuances could be systematically presented to relevant criminal justice officials.
  - (b) Victim/witness opinions about dispositions could be presented to relevant criminal justice officials including the possibility of obtaining restitution.

- (3) Working with criminal justice and other agencies to improve their treatment of victims/witnesses through:
  - (a) Development of more neighborhood focused police, prosecution, court, or corrective services.
  - (b) Specific assignment or training of criminal justice personnel to deal with, and be sensitive to the problems of victims/witnesses of particular crimes such as rape and sexual assault.
  - (c) Education programs for the public and/or criminal justice agencies about the seriousness of particular types of crime problems.
  - (d) Research and monitoring efforts to better understand, document, and articulate problems that victims/witnesses are having in their encounters with the criminal justice system. Efforts along these lines may include neighborhood monitoring of particular cases and court-watching projects.
  - (e) Working to develop an office of Victim/Witness Advocacy to negotiate for victim and witness interests among, and with, other official participants of the criminal justice system.

d. Experiences

Victim/Witness programs have traditionally been conducted by criminal justice agencies or sponsored by private organizations. Based on the experience in these programs, it is now desirable to respond to the needs of the victim/witness and of the criminal justice system through neighborhood-based projects. The direct involvement of neighborhoods in the assistance of the victim/witness will increase the projects' credibility and enable them to better serve their clientele. Ultimately, projects can have a favorable impact on the perception of the criminal justice system by neighborhood residents and promote the relationship between them. Some examples of community-based victim and witness projects are:

- (1) A coalition of community groups in Chicago worked with the State's Attorneys Office to establish a branch office in the uptown section of Chicago. In contrast with the practices of the centralized State's Attorneys Office, the neighborhood office was able to assign one attorney to work on all steps of a case. Under this assignment the assistant state's attorneys were able to stay in closer communication with victims and witnesses to develop testimony, notify them of court dates, and to respond to their questions and concerns. The community groups in turn were able to provide feedback to the assistant state's attorneys on types of cases with which they were most concerned.
- (2) A number of local groups have developed victim projects for women who have been raped or battered. Such projects offer assistance in dealing with criminal justice agencies as well as offering emotional and social supports of various kinds.

C. Suggested Project Areas

Below is a list of several project areas that address problems that are consistent with the objectives and philosophy of the UCPP. Applicants may develop projects using these suggestions and/or locally initiated projects, as explained below in Section D of this chapter, or a combination of the two with up to 40 percent of the proposed project funds.

1. Family Violence

It has long been known that domestic conflict is a major source of serious criminal violence. In recent years, people have become aware of the prevalence of child and spouse abuse, of which only a small proportion comes to the attention of the legal authorities or other agencies. A number of family violence programs have been undertaken over the past few years to encourage criminal justice system involvement in this problem and to provide assistance to victims of abuse. Current understanding of the causes of and best ways to reduce such violence is limited. A number of efforts, although not providing a long-term solution to the problem, are being explored to provide assistance and protection to abused family members, as well as counseling and other services for the entire family.

The UCPP encourages grantees and project organizations to develop neighborhood projects that seek to reduce and prevent the incidence of family violence through community participation and the use of volunteers.

## 2. Consumer Fraud

A great variety of activities is encompassed by consumer fraud. While accurate statistics are not available, it is generally agreed that frauds represent a major cost to specific individuals and to the society as a whole. To date, the ability of the criminal justice system to deal with these types of crimes has been limited. Recently, however, prosecutors have been devoting more resources to these types of crimes.

Specific types of fraud may cause great hardships in certain urban areas. The UCPP encourages grantees and project organizations to identify fraud problems and work with criminal justice officials to document, to prosecute, and to prevent the recurrence of such crimes.

## 3. Unemployment and Crime

Although there are conflicting studies as to the extent of the relationship between unemployment and crime, it is now generally accepted that such a relationship does exist.

Some studies have shown a correlation between increases in unemployment and increases in the crime rate for a given area. While it is recognized that increases in unemployment are primarily determined by national or local economic conditions, other factors such as employment discrimination based on race, ethnic background, or prior contact with the criminal justice system also appear to contribute to such increases in many urban areas.

UCPP encourages the development of neighborhood-based projects that address unemployment and employment discrimination as related to crime.

The relationship between youth unemployment and crime appears to be even more pronounced. Many communities can directly correlate increased unemployment, especially among youths 16 to 24 years old, to increases in incidents of burglary, armed robbery, and purse snatching. According to the Statistics Bureau of the Department of Labor, the unadjusted unemployment rate in 1978-79 of all youths (16 to 24 years) ranged between 10 to 13 percent and between 23 to 26 percent for minority youths over the same period. The Department of Labor has attempted to reduce this rate by providing additional funds to local prime sponsors for the creation of more summer and

year-round youth job slots. However, many local prime sponsors have reported difficulty in finding nonprofit agencies willing to develop projects providing meaningful youth work-experience placements. Projects that provide youth employment opportunities can be viewed as crime prevention programs based on the correlation between unemployment and crime.

The UCPP encourages grantees and project organizations to propose crime prevention projects that assist in the development of youth placement opportunities.

#### 4. Public Housing Anti-Crime Initiatives

Another program developed in response to the President's March 1978 Urban Policy Message is the new public housing initiative, Urban Initiatives Anti-Crime Program, currently being conducted by the Department of Housing and Urban Development (HUD). As part of this comprehensive approach, HUD has stressed the importance of involving tenants' organizations, youths living in the projects, and organizations and institutions functioning in the areas around the projects. The Department of Labor is also providing funds under this new program to support employment opportunities for youths residing in participating public housing projects.

Organizations within and in areas surrounding public housing projects, including those participating in the HUD anti-crime initiative, are eligible to become project organizations under the UCPP and are encouraged to develop proposals for volunteer programs consistent with the UCPP goals and objectives.

#### 5. School Crime

Neighborhoods are often judged by the environment and quality of their schools. The willingness of people to move into or remain in a neighborhood may be based more on the reputation of its schools than on any other factor. A school with a real, or even perceived, crime problem may contribute significantly to the deterioration of a local area. Every resident, therefore, has a stake in improving the safety of the school and dealing with its actual or potential crime problem.

The UCPP encourages grantees and project organizations to develop projects in the prevention of school crime including combatting vandalism, alternatives to suspension as a disciplinary tool, the counseling of disruptive students, and other areas related to school anti-crime. Applicants are encouraged to coordinate projects with existing school anti-violence efforts in their areas which are jointly conducted by the LEAA's Office of Juvenile Justice and Delinquency Prevention and HEW's Office of Alcohol and Drug Abuse Education Programs and with the Center for Human Services.

Projects should:

- a. Provide for the representative and substantial involvement of parents, neighborhood leaders, students, and school staff in their planning and implementation.
- b. Address both actual school crime and problems that contribute to the breakdown of neighborhood confidence in and commitment to the school and may lead to future criminal behavior.

D. Locally Initiated Projects

Some projects developed at the local level may be funded under the UCPP. All such projects must be consistent with the goals and objectives of the UCPP and must involve the common characteristics referred to in Section A of this chapter. In addition, the 40 percent limitation on project funds mentioned in Section C of this chapter applies.

## CHAPTER IV

### SPECIAL EMPHASIS ON THE USE OF VOLUNTEERS

#### I. INTRODUCTION

The President's 1978 Urban Policy Message highlighted the importance of community volunteers in conserving America's communities. This program supports that concept.

Grantees and project organizations in the UCPP must involve volunteers in local projects. The degree to which citizen volunteers participate in project planning and the grantee's plans for creative use of volunteers in project implementation will be important considerations in the grant selection process.

Volunteers in the UCPP may be community residents who volunteer a few hours a week, or full-time volunteers who receive a living allowance, or members of established volunteer organizations whose interests coincide with those of local projects.

#### A. Community Volunteers

The majority of project organizations will be citizen participation organizations that function on the neighborhood level. Community volunteers are often the backbone of such organizations and perform most or all of the activities required to operate an effective neighborhood organization. The intent of the UCPP is to strengthen those organizations by increasing their membership and operational capacity so that crime prevention efforts continue beyond the grant period. Grantee and project funds must be used to develop new efforts in crime prevention, not to support existing neighborhood volunteer programs.

Projects will involve community volunteers in planning and implementation. In addition, community volunteers may assist in maintaining project organization offices, in recruiting new volunteers, and in initiating other projects that will complement UCPP efforts.

The versatility of community volunteers can be of tremendous benefit to UCPP efforts. Community volunteers are of all ages and levels of education and experience background. Their time commitments vary as do their volunteer assignments. The one common feature among community volunteers is that they reside in the neighborhoods in which they serve.

B. Full-time Volunteers

Project organizations may need full-time volunteers to help provide community organizing assistance, training, and assistance to community residents in program development and implementation. Therefore, the UCPP will provide living allowances to certain volunteers whose overall purpose is to develop skills in the community that can be used as the basis for future neighborhood crime prevention project endeavors.

The grantee must include in its grant application workplans for each full-time UCPP volunteer. These volunteers may function in a variety of roles such as organizers, researchers, lawyers, and accountants; however, their activities must be ultimately directed toward mobilizing community resources and increasing the capacity of the target community to solve its own crime problems. It is expected that UCPP grants will reflect a minimum of one full-time volunteer for each project organization.

UCPP full-time volunteers should be recruited from the local area. Federal level UCPP staff will be available to assist in this process and in locating candidates from outside of the target area when necessary. Volunteer selection is the responsibility of project organizations with concurrence from respective grantees.

UCPP full-time volunteers will serve a minimum of 40 hours per week and are available, as needed, at other times. Consequently, they may not hold part-time jobs nor receive compensation from another volunteer program. UCPP full-time volunteers must be at least 16 years of age, be United States citizens or have permanent visa status, should be in general good health, and may not be currently involved in criminal litigation. They may, however, be on parole or probation. Project organizations are responsible for specifying skill level criteria. UCPP full-time volunteers may receive a living allowance equal to, but not in excess of, that which is provided VISTA volunteers.

Federal level UCPP staff will provide volunteers with an initial orientation covering program history and federal regulations, volunteer administrative issues, and basic community organizing techniques. The grantee and project organizations will be responsible for orienting volunteers to the target community and to the goals and objectives of the project as stipulated in the grant application.

Additional skill training in basic crime prevention techniques may be necessary in conjunction with grant activities. Technical assistance contractors and federal level UCPP staff will be available for assistance in the development and implementation of training programs.

C. Established Volunteer Organizations

There are numerous volunteer organizations in every urban area that can provide both general and specific assistance to UCPP grantees. Some of these groups may elect to cooperate formally with project organizations while members of others may individually choose to volunteer their services. For example, organizations may be willing to research issues, develop program strategies, and help neighborhood organizations attract media attention to matters related to crime prevention. Student volunteers or older American volunteers, especially those residing in a target community, could be recruited or might specifically request volunteer placements with the grantee or project organization.

## CHAPTER V

### ELIGIBILITY AND SELECTION CRITERIA

#### I. INTRODUCTION

All UCPP grants will be awarded on a competitive basis. Funding will be made available for up to 15 grants in cities of 150,000 or more in population. Grant amounts will not exceed \$500,000 in size.

Grant applicants will be required to complete the LEAA Standard Form 424, the application for UCPP funding. Special instructions for completion of the Program Narrative are provided in Appendix 4 of this guidebook. Grants will be awarded for an 18-month budget period.

Applicants should pay particular attention to the UCPP's eligibility and selection criteria that follow.

#### A. Eligibility Criteria

Each of the requirements set forth below must be addressed in applications submitted for consideration. The applicant must meet the following eligibility criteria.

1. Be located in a city with a population of at least 150,000.
2. Be a private nonprofit corporation.
3. Submit a CPA certification of accounting capability.
4. Propose projects that will be carried out in low and/or moderate income neighborhoods.
5. Propose projects in residential areas that meet one or more of the following criteria for being a neighborhood.
  - a. Being known by a given name.
  - b. Having generally agreed upon boundaries.
  - c. Having same historical continuity.
  - d. Having a territorial group that bears its name.
6. Assure that a majority of proposed projects are conducted by, and a majority of project funds are awarded to, neighborhood groups.

7. Develop crime prevention projects that are responsive to identified crime problems and that conform to UCPP's goals and objectives. The process utilized to determine crime problems must be clearly described in the application. Input on local crime problems should be obtained from public and private organizations including neighborhood groups.
8. Document each Advisory Council member's willingness to serve for the duration of the grant, whether he/she participated in the project planning, whether he/she is familiar with the contents of the proposal, and whether or not a Council member's organization will receive an allocation.
9. Provide a description of how and where the applicant drew on sources of data, information, and expertise in developing its application.
10. Submit brief biographies of Advisory Council members describing their backgrounds and the group or interests they represent on the Council.
11. Provide in the grant application a separate description of each project organization, its experience in carrying out neighborhood projects and involving neighborhood people in them, the specific activities to be conducted by each project organization, and the nature of the crime problem to be addressed, and a separate itemized budget and budget narrative for each project.
12. Describe any past and present community crime prevention efforts, including those receiving municipal, state, and/or federal assistance (e.g., LEAA, HUD, CETA, etc.).
13. Provide assurance of willingness to cooperate with a national contractor in the evaluation of grant activities.
14. Conform with federal level goals and objectives established for the UCPP.
15. Comply with all regulations, policies, and procedures established for the management of the UCPP grant.
16. Comply with the OMB Circular A-95 that requires appropriate area and statewide clearinghouse reviews.

17. Participate in the UCPP technical assistance component, which will provide ongoing help in project implementation at no cost to grantees. Types of assistance will depend on grantees' needs. All successful applicants must agree to participate in this training and technical assistance program. Each application must include a description of its anticipated technical assistance needs during the program's start-up and implementation phases.
18. Submit application to the mayor for review. Mayors will, in writing, indicate whether:
  - a. The proposal was reviewed or not.
  - b. He/she or a designated representative participated in developing the application.
  - c. He/she or a designee is willing to serve on the Council.

Responses to the above must be submitted with the application. If the mayor chooses not to act on the application, the applicant will provide evidence that the application has been submitted to the mayor. The mayor may endorse more than one application if he/she so chooses. The lack of the mayor's willingness to serve or to designate a representative to serve on the Advisory Council makes selection of the application as a tentative finalist in the review process unlikely. Once the proposed grantees are identified by the UCPP staff, and prior to awards, the mayor will have a 30-day period to veto any proposed grant within his/her jurisdiction. His/her veto is conclusive. No grant will be made if vetoed by the mayor.

#### **B. Selection Criteria Priorities**

The following criteria will be utilized to rank eligible applicants in determining the selection of grantees. The 16 criteria are divided into three categories based on the priority given to each criterion. The rank order, however, as it appears below does not necessarily indicate the order of importance of each criterion within each of the three categories.

1. Primary importance will be given to:
  - a. Extent to which all proposed projects meet the common characteristics developed by the UCPP.
  - b. Applicant's demonstrated ability to work with neighborhood groups and public and private organizations.
  - c. Extent of volunteer involvement in proposed crime prevention projects.

- d. Degree to which the applicant involved public and private organizations, especially neighborhood groups and residents, in planning proposed crime prevention efforts.
- e. Applicant's experience in developing, implementing, and managing neighborhood programs in crime prevention or other areas.
- f. Extent to which proposed projects employing models fulfill UCPP-determined project elements.

2. Secondary importance will be given to:

- a. Development of a sound planning process that includes the use of the best available crime statistics and other evidence of crime and its impact.
- b. Extent to which those proposed project organizations that are neighborhood groups have a multi-issue orientation.
- c. Extent of experience in and/or plans for community organizing as part of the proposed crime prevention projects.
- d. Extent to which the proposed projects address crime problems identified in the planning process.
- e. Breadth, representativeness, and expertise of Advisory Council membership and the degree of their involvement in developing the proposal.

3. Consideration will also be given to:

- a. Extent to which those proposed project organizations that are neighborhood groups have an established organizational structure, including elected officers and regular meetings, involve members in their decision-making processes and promote participation of residents in their activities.
- b. Reasonableness of costs in relation to activities proposed and results anticipated.
- c. Capability of applicants to afford training to project organizations and volunteers.
- d. Adequacy of grantee and project organization staffing patterns and the expertise of individual staff members in implementing and managing a UCPP grant and projects.
- e. Adequacy of plans by project organizations for effective supervision of volunteers receiving living allowances.

## APPENDIX 1. GENERAL SPECIFICATION AND REQUIREMENTS FOR UCPP GRANTS

1. SCOPE. This appendix contains general requirements for and limits on use of discretionary fund grants, including eligibility rules, general requirements, prohibitions and restrictions, and other technical requirements.

### SECTION 1. GENERAL REQUIREMENTS

2. GRANT ASSURANCES. The grant assurances contained in Part V of SF 424, Application for Federal Assistance (Appendix 4) are incorporated in and made a part of UCPP grant awards.
  - a. Review. All grant assurances should be reviewed carefully because they define the obligations of grantees and their project organizations and express commitments that have binding contractual effect when the award is accepted by the grantee.
  - b. Special Conditions. ACTION and LEAA may approve or require, as a condition of grant award and receipt of funds, "special conditions" applicable only to the particular project or type of program receiving grant support. These special conditions are to be negotiated and included in the terms of an award. Notice and opportunity for discussion will be provided to grant applicants. Special conditions may:
    - (1) Set forth specific grant administration policies;
    - (2) Set forth Federal regulations (e.g., written approval of changes);
    - (3) Seek additional project information or detail;
    - (4) Establish special reporting requirements; and/or
    - (5) Provide for federal approval of critical project elements such as key staff, contracts, etc.
  - c. Guidelines and Regulations. All grants are subject to other applicable Federal guidelines and regulations. Copies of these and other grant condition references may be obtained from the UCPP staff. Other major guidelines and regulations are:
    - (1) M 7100.1, LEAA's Financial Management Guidelines, which is the basic fiscal administration manual for UCPP grants;

- (2) LEAA regulations implementing the provisions of Title VI of the Civil Rights Act of 1964 with respect to LEAA grants (28 CFR 42.101, et. seq., Subpart C);
- (3) LEAA NONDISCRIMINATION IN FEDERALLY ASSISTED CRIME CONTROL AND JUVENILE DELINQUENCY PROGRAM (28 CFR 42.201, et. seq., SUBPART D) AND EQUAL EMPLOYMENT OPPORTUNITY PROGRAM GUIDELINES (28 CFR 42.301, et. seq., SUBPART E) WITH RESPECT TO LEAA GRANTS;\*
- (4) Department of Justice-LEAA regulations on privacy and security of criminal history information systems (28 CFR Part 20);
- (5) Department of Justice-LEAA regulations on the Confidentiality of Identifiable Research and Statistical Information (28 CFR Part 22).

d. Special Condition. The following condition applies to all UCPP grants:

"THIS GRANT, OR PORTION THEREOF, IS CONDITIONAL UPON SUBSEQUENT CONGRESSIONAL OR EXECUTIVE ACTION WHICH MAY RESULT FROM FEDERAL BUDGET DEFERRAL OR REVISION ACTIONS PURSUANT TO THE AUTHORITY CONTAINED IN SECTIONS 1012(A) AND 103(A) OF THE CONGRESSIONAL BUDGET AND IMPOUNDMENT CONTROL ACT OF 1974, 31 U.S.C. 1301, PUBLIC LAW 93-344, 88 STAT. 297 (JULY 12, 1974)."

## SECTION 2. SPECIAL REQUIREMENTS

3. ADMINISTRATIVE AND LEGAL REQUIREMENTS. The UCPP staff is required to insure that all UCPP grants meet certain administrative and legal requirements imposed by other laws and administrative issuances. The applicant must ensure that the following are met:

- a. Clean Air Act (42 U.S.C. 1857). As amended.
- b. Uniform relocation Assistance and Real Property Acquisition Policies Act of 1970, P.L. 91-646, 84 Stat. 1894. Additionally, the implementing regulations of the Department of Justice concerning relocation assistance and payments must be adhered to.
- c. National Environmental Policy Act of 1969.

\*This is an area of Administrators' concern and will be strictly enforced.

- d. Flood Disaster Protection Act of 1973, Pub. L. 93-234, 42 U.S.C. §4001, et. seq.
- e. Rehabilitation Act of 1973, Pub. L. 93-112.
- f. Safe Drinking Water Act, Pub. L. 93-523, 42 U.S.C. §300f, et. seq.
- g. Endangered Species Act of 1973, Pub. L. 93-205, 16 U.S.C. §1531, et. seq.
- h. Wild Scenic Rivers Act, Pub. L. 90-542, 16 U.S.C. §1271, et. seq.
- i. Fish and Wildlife Coordination Act, Pub. L. 85-624, 16 U.S.C. §661, et. seq.
- j. Historical and Archeological Preservation Act, Pub. L. 93-291, 16 U.S.C. §469, et. seq.
- k. Coastal Zone Management Act of 1972, Pub. L. 92-583, 16 U.S.C. §1451, et. seq.
- l. Animal Welfare Act of 1970, Pub. L. 91-579, 7 U.S.C. §2131, et. seq.
- m. Historic Sites. Before approving grants involving construction, renovation, purchasing, or leasing of facilities the UCPP staff shall consult with the State Liaison Officer for Historic Preservation to determine if the undertaking may have an effect on properties listed in the National Register of Historic Places. If the undertakings may have an effect on the listed properties, the UCPP staff shall notify the Advisory Council on Historic Preservation.
- n. A-95 Notification Procedures. Applicants must notify appropriate areawide and State Clearinghouse of their intent to apply for UCPP grants, in accordance with LEAA's A-95 requirements (28 CFR Part 30).
- o. Criminal Penalties. The following apply:
  - (1) Whoever embezzles, willfully misappropriates, steals, or obtains by fraud or endeavors to embezzle, willfully misapply, steal or obtain by fraud any funds, assets, or property that are the subject of a grant or contract or other form of assistance pursuant to this title, whether received directly or indirectly from the Federal government, or whoever receives, conceals, or retains such funds, assets, or property with intent to convert such funds, assets, or property to his/her use or gain, knowing such funds, assets, or property have been embezzled, willfully misappropriated, stolen, or obtained by fraud, shall be fined not more than \$10,000 or imprisoned not more than five years, or both; and

(2) Whoever knowingly and willfully falsifies, conceals, or covers up by trick, scheme, or device, any material fact in any application for assistance submitted pursuant to the LEAA legislation or in any records required to be maintained pursuant to that legislation shall be subject to prosecution under the provisions of Section 1001 of Title 18, United States Code.

### SECTION 3. PROHIBITIONS AND RESTRICTIONS

4. LETHAL WEAPONS, AMMUNITION AND RELATED ITEMS. UCPP funds may not be used to purchase lethal weapons, ammunition, armored vehicles, explosive devices, and related items.
5. MEDICAL RESEARCH AND PSYCHOTHERAPY. UCPP funds may not be used for medical research or for the use of medical procedures that seek to modify behavior by means of any aspect of psychosurgery, aversion therapy, chemotherapy (except as part of routine clinical care), and physical therapy of mental disorders. Such proposals should be submitted to the Secretary of the Department of Health, Education and Welfare for funding consideration. This policy does not apply to programs involving procedures generally recognized and accepted as not subjecting the patient to physical or psychological risk (e.g., methadone maintenance and certain alcoholism treatment programs), specifically approved in advance by the UCPP staff, or to programs of behavior modification that involve environmental changes or social interaction where no medical procedures are utilized.

## APPENDIX 2. PREPARATION AND SUBMISSION OF APPLICATIONS

- L. SCOPE. This appendix provides information on how to prepare applications and on the process for submitting applications.

### SECTION 1. PREPARATION OF APPLICATIONS

#### 2. STANDARD APPLICATION FORMS

- a. Applications for non-construction projects must be made on Standard Form 424, Application for Federal Assistance with Attachment LEAA Form 4000/3.
- b. Application forms may be obtained from Financial Management and Grants Administration Branch, Grants and Contracts Management Division, Office of the Comptroller, Law Enforcement Assistance Administration, Washington, D.C. 20531.
- c. Applicants must follow the special instructions for Part III and also should follow the instructions for Part IV of the application found in Appendix 4.
- d. Because of the variety of Federal programs, parts of the standard forms may not seem appropriate for some UCPP applications. In such cases, applicants should be as responsive as possible and seek assistance from the UCPP staff, ACTION's regional and state program offices, or the State, Regional, Local or Metropolitan Criminal Justice council or boards prior to submitting full grant applications. The addresses for these offices and agencies are included in this appendix.

### SECTION 2. SUBMISSION OF APPLICATIONS

#### 3. SUBMISSION AND PROCESSING PROCEDURES.

- a. Prior to submission of the application to the UCPP staff, the applicant must notify, or submit the application to, the appropriate A-95 Clearinghouse in accordance with A-95 requirements. (28 CFR Part 30).
- b. Applicant must send original and two copies of application to:

Control Desk  
Grants and Contracts Management Division  
Law Enforcement Assistance Administration  
633 Indiana Avenue, NW., Room 942  
Washington, D.C. 20531

- c. Grants and Contracts Management Division will review the application and refer it to the UCPP for program review.

- d. Prior to award, the UCPP staff will provide ACTION's field offices and the State Criminal Justice councils with copies of the semi-finalist applications from within their jurisdictions for review and comment. If no response is received from those offices or agencies within 30 days, an affirmative reaction is assumed.
- e. The UCPP office will review the application and comments from ACTION's field offices and the State Criminal Justice council and A-95 Clearinghouse, if such comments have been submitted.
- f. If necessary, the UCPP staff will request additional information from applicants or discuss specific issues by phone or in person with applicant.
- g. The UCPP office will recommend approval or disapproval to the Director of ACTION and Administrator of LEAA.
- h. The Director of ACTION and the Administrator of LEAA will approve or disapprove application.

4. PANEL REVIEW PROCESS.

- a. If more grant applications are received than can be supported by available funds, a Panel Review Process is followed. This process is intended to promote more effective use of Federal funds by providing for a comparison of each grant application with all of the other grant applications under the same program. In addition, advisory reviews permit a broader range of judgements about proposed projects to be used in making award decisions.
- b. Applications for UCPP grants are to be submitted so as to be received by LEAA or post marked no later than May 9, 1980. Additional material or replacement material also may be submitted and will be considered, provided that it reaches LEAA before the deadline. Applications will not be processed prior to the deadline. All applications will be reviewed concurrently by a panel of experts. Applicants will be informed of the UCPP's decision concerning funding as expeditiously as possible within 90 days of the program's closing deadline date.

5. NOTIFICATION.

- a. Applicants will normally be notified of approval or disapproval of their applications within 90 days of the indicated deadline date.
- b. Under certain circumstances, application processing may exceed the 90-day period. In such cases, the applicants will be notified.
- c. If an application is not approved, the applicant will be given written reasons for rejection.

ACTION'S REGIONAL OFFICES

REGION I

John W. McCormack  
Federal Bldg.  
Room 1420  
Boston, MA 02109  
Phone: 617/223-4501

REGION VI

212 N. St. Paul Street  
Corrigan Tower Bldg.  
Suite 1600  
Dallas, TX 75201  
Phone: 214/767-5455

REGION II

26 Federal Plaza  
Suite 1611  
New York, NY 10007  
Phone: 212/264-5710

REGION VII

II Gateway Center  
Suite 330  
4th and State  
Kansas City, KS 66101  
Phone: 816/374-4486

REGION III

U. S. Customs House  
Room 112  
2nd and Chestnut Streets  
Philadelphia, PA 19106  
Phone: 215/597-9972

REGION VIII

1845 Sherman Street  
Columbine Bldg., Room 201  
Denver, CO 80203  
Phone: 303/837-2671

REGION IV

101 Marietta Street, NW  
Room 2524  
Atlanta, GA 30323  
Phone: 404/242-2859

REGION IX

211 Main Street  
Room 533  
San Francisco, CA 94105  
Phone: 415/556-1736

REGION V

1 North Wacker Drive  
Room 322  
Chicago, IL 60606  
Phone: 312/353-5107

REGION X

1601 Second Avenue  
Seattle, WA 98101  
Phone: 206/399-4520

ADDRESSES AND PHONE NUMBERS

ACTION'S STATE PROGRAM OFFICES  
(Address all correspondence to:  
State Program Directors)

STATE CRIMINAL JUSTICE COUNCILS  
(Address all correspondence  
to: Directors)

ALABAMA

U.S. Court House Building  
1800 5th Avenue, Room 21  
Birmingham, Alabama 35203  
Phone: 205/229-1907

Law Enforcement Planning Agency  
2863 Fairlane Dr. Executive Park  
Bldg., F, Suite 49  
Montgomery, Alabama 36116  
Phone: 205/277-5440

ALASKA

701 "C" Street  
Box 1-D  
Anchorage, Alaska 99501  
Phone: 907/265-5324

Gov.'s Commission on the Ad. of Jus.  
Pouch AJ  
Juneau, Alaska 99811  
Phone: 907/465-3535

AMERICAN SAMOA

See Hawaii

Criminal Justice Planning Agency  
Government of American Samoa  
P.O. Box 3760  
Pago, Pago, American Samoa 96799  
Phone: Pago, Pago 633-5221

ARIZONA

522 North Central, Room 205-A  
Phoenix, Arizona 85005  
Phone: 602/261-4825

State Justice Planning Agency  
4820 North Black Canyon  
Phoenix, Arizona 85017  
Phone: 602/271-5466

ARKANSAS

New Federal Bldg., Room 3012  
700 West Capitol Street  
Little Rock, Arkansas 72201  
Phone: 501/740-6178

Crime Commission  
1515 Bldg., Suite 700  
Little Rock, Arkansas 72202  
Phone: 501/371-1305

CALIFORNIA

Century Park Center  
9911 West Pico Blvd., Suite B-16  
Los Angeles, California 90035  
Phone: 213/799-7421

Office of Criminal Justice Planning  
7171 Bowling Drive  
Sacramento, California 95823  
Phone: 916/455-9156

1375 Sutter Street  
San Francisco, California 94102  
Phone: 415/556-2085

COLORADO

1845 Sherman Street  
Columbine Bldg., Room 301  
Denver, Colorado 80203  
Phone: 303/327-4004

Division of Criminal Justice  
1313 Sherman Street, Room 419  
Denver, Colorado 80203  
Phone: 303/839-3331

CONNECTICUT

Suite 602  
60 Washington Street  
Hartford, Connecticut 06106  
Phone: 203/244-2302

Justice Commission  
75 Elm Street  
Hartford, Connecticut 06115  
Phone: 203/566-3020

DELAWARE

Federal Bldg., Room 1015  
31 Hopkins Plaza  
Baltimore, Maryland 21201  
Phone: 301/924-4442

Criminal Justice Planning Commission  
State Office Bldg., Fourth Floor  
820 North French Street  
Wilmington, Delaware 19801  
Phone: 302/571-3430

DISTRICT OF COLUMBIA

See Virginia

Office of Criminal Justice  
Plans and Analysis  
Munsey Bldg., Suite 200  
1329 E Street, NW  
Washington, D.C. 20004  
Phone: 202/727-6537

FLORIDA

Federal Bldg.,  
80 N. Hughey Ave., Suite 413  
Orlando, Florida 32801  
Phone: 305/820-6117

Bureau of Criminal Jus. Assistance  
530 Carlton Bldg., Room 215  
Tallahassee, Florida 32304  
Phone: 904/488-6001

GEORGIA

75 Piedmont Avenue  
Suite 960  
Atlanta, Georgia 30303  
Phone: 404/242-4646

State Crime Commission  
Suite 625  
3400 Peachtree Road, NE  
Atlanta, Georgia 30326  
Phone: 404-894-4410

GUAM

See Hawaii

Criminal Jus. Planning Agency  
Govern. of Guam, P.O. Box 2950  
Agana, Guam 96910  
Phone: 472-8781

HAWAII

Federal Bldg.,  
P.O. Box 50024  
Honolulu, Hawaii 96850  
Phone: 808/546-8925

State Law Enforcement & Juvenile  
Delinquency Planning Agency  
1010 Richards Street  
Kamamalu Bldg., Room 412  
Honolulu, Hawaii 96813  
Phone: 808/548-3800

IDAHO

216 N. 8th Street  
Idaho Bldg., Room 511  
Boise, Idaho 83701  
Phone: 208/554-1707

Law Enforcement Planning Commission  
700 West State Street  
Boise, Idaho 83720  
Phone: 208/384-2364

ILLINOIS

1 North Wacker Drive  
Second Floor  
Chicago, Illinois 60606  
Phone: 312-353-3622

Law Enforcement Commission  
120 South Riverside Plaza  
Chicago, Illinois 60606  
Phone: 312/454-1560

INDIANA

46 East Ohio Street  
Room 457  
Indianapolis, Indiana 46204  
Phone: 317/331-6724

Criminal Jus. Planning Agency  
215 N. Senate  
Indianapolis, Indiana 46202  
Phone: 317/633-4773

IOWA

210 Walnut  
Des Moines, Iowa 50309  
Phone: 515/862-4817

Crime Commission  
Lucas State Office Bldg.  
Des Moines, Iowa 50319  
Phone: 515/281-3241

KANSAS

Federal Bldg., Room 350  
444 S.E. Quincy  
Topeka, Kansas 66603  
Phone: 913/752-2540

Gov.'s Committee on Crim. Admin.  
503 Kansas Avenue, Second Floor  
Topeka, Kansas 66603  
Phone: 913/296-3066

KENTUCKY

Federal Bldg.,  
600 Federal Place  
Room 372-D  
Louisville, Kentucky 40202  
Phone: 502/352-6384

Executive Office of Staff Services  
Department of Justice  
State Office Bldg. Annex, 2nd Floor  
Frankfort, Kentucky 40601  
Phone: 502/564-3251

LOUISIANA

1 American Place  
Suite 1911  
Baton Rouge, Louisiana 70825  
Phone: 504/687-0471

Commission on Law Enforcement and  
Admin. of Criminal Justice  
1885 Wooddale Blvd., Room 615  
Baton Rouge, Louisiana 70806  
Phone: 504/389-7515

MAINE

Federal Building  
Room 3012  
151 Forest Avenue  
Portland, Maine 04101  
Phone: 207/833-3414

Criminal Justice Planning and  
Assistance Agency  
11 Parkwood Drive  
Augusta, Maine 04330  
Phone: 207/289-3361

MARYLAND

Federal Bldg.,  
Room 1015  
31 Hopkins Plaza  
Baltimore, Maryland 21201  
Phone: 301/922-4442

Governor's Commission on Law  
Enforcement and Admin. of Jus.  
One Investment Place, Suite 700  
Towson, Maryland 21204  
Phone: 301/321-3636

MASSACHUSETTS

John W. McCormack Federal Bldg.  
Room 1414  
Boston, Massachusetts 02109  
Phone: 617/223-1367

Committee on Criminal Justice  
110 Tremont Street, Fourth Floor  
Boston, Massachusetts 02108  
Phone: 617/727-6300

MICHIGAN

Federal Bldg., Room 616  
231 West Lafayette Blvd.  
Detroit, Michigan 48226  
Phone: 313/226-7848

Office of Criminal Jus. Programs  
Lewis Cass Bldg., Second Floor  
Lansing, Michigan 48909  
Phone: 517/373-6655

MINNESOTA

Old Federal Building, Room 104  
212 Third Avenue, South  
Minneapolis, Minnesota 55401  
Phone: 612/725-2793

Crime Control Planning Board  
444 Lafayette Road  
St. Paul, Minnesota 55101  
Phone: 612/296-3113

MISSISSIPPI

Federal Bldg.  
Room 1005-A  
100 West Capitol Street  
Jackson, Mississippi 39202  
Phone: 601/969-4462

Criminal Justice Planning Commission  
Office of the Governor  
723 N. President Street, Suite 400  
Jackson, Mississippi 39202  
Phone: 601/354-4111

MISSOURI

911 Walnut Street  
Room 2611  
Kansas City, Missouri 64106  
Phone: 816/758-5256

Council on Criminal Justice  
P.O. Box 1041  
Jefferson City, Missouri 65101  
Phone: 314/751-3432

MONTANA

Federal Office Building  
301 South Park, Room 192  
Helena, Montana 59601  
Phone: 406/585-5404

Board of Crime Control  
1336 Helena Avenue  
Helena, Montana 59601  
Phone: 406/449-3604

NEBRASKA

100 Centennial Mall North  
Room 293  
Lincoln, Nebraska 68508  
Phone: 402/867-5493

Commission on Law Enforcement  
and Criminal Justice  
State Capitol Building  
Lincoln, Nebraska 68509  
Phone: 402/471-2194

NEVADA

Federal Building, Room 303  
705 Plaza Street  
Carson City, Nevada 89701  
Phone: 702/470-5314

Commission on Crime, Delinquency  
and Corrections  
430 Jeanell, Capitol Complex  
Carson City, Nevada 89701  
Phone: 702/885-4405

NEW HAMPSHIRE

Federal Building, Room 523  
55 Pleasant Street  
Concord, New Hampshire 03301  
Phone: 603/834-4773

Governors Commission on Crime  
and Delinquency  
169 Manchester Street  
Concord, New Hampshire 03301  
Phone: 603/271-3601

NEW JERSEY

143 East State Street  
Broad Street Bank Building  
Trenton, New Jersey 08608  
Phone: 609/483-2243

Law Enforcement Planning Agency  
3535 Quaker Bridge Road  
Trenton, New Jersey 08625  
Phone: 609/292-3741

NEW MEXICO

Federal Building  
Cathedral Place  
Room 126  
Santa Fe, New Mexico 87501  
Phone: 505/476-1577

Department of Criminal Justice  
Administrative Services Division  
113 Washington Avenue  
Santa Fe, New Mexico 87501  
Phone: 505/827-5222

NEW YORK  
UPSTATE (DISTRICT I)

Scotia Depot  
B-101, Building 2  
Scotia, New York 12302  
Phone: 518/563-2392

See New York City

NEW YORK CITY (DISTRICT II)

201 Varick Street  
New York, New York 10014  
Phone: 212/660-3315

Division of Criminal Justice  
Services  
80 Centre Street, Fourth Floor  
New York, New York 10013  
Phone: 212/488-4868

NORTH CAROLINA

BSR Building  
316 East Morehead Street  
Room 402  
Charlotte, North Carolina 28202  
Phone: 704/672-6121

Division of Crime Control  
Department of Crime Control and  
Public Safety  
P.O. Box 27687  
Raleigh, North Carolina 27611  
Phone: 919/733-4000

NORTH DAKOTA

See South Dakota

Combined Law Enforcement Council  
Box B  
Bismarck, North Dakota 58505  
Phone: 701/224-2594

NORTHERN MARIANA ISLANDS

See Hawaii

Criminal Justice Planning Agency  
Saipan, Mariana Islands 96950

OHIO

Federal Building  
Room 120  
85 Marconi Blvd.  
Columbus, Ohio 43215  
Phone: 614/943-7441

Department of Economic & Community  
Development  
Administration of Justice  
30 East Broad Street, 26th Floor  
Columbus, Ohio 43215  
Phone: 614/466-7610

OKLAHOMA

200 N.W. 5th  
Suite 527  
Oklahoma City, Oklahoma 73102  
Phone: 405/736-5201

Crime Commission  
3033 N. Walnut  
Oklahoma City, Oklahoma 73105  
Phone: 405/521-2821

OREGON

Terminal Sales Bldg., Room 310  
1220 S.W. Morrison  
Portland, Oregon 97205  
Phone: 503/423-2261

Law Enforcement Council  
2001 Front Street, N.E.  
Salem, Oregon 97310  
Phone: 503/378-4347

PENNSYLVANIA  
EASTERN

1421 Cherry Street  
Philadelphia, Pennsylvania 19102  
Phone: 215/597-3543

Pennsylvania Commission on Crime  
and Delinquency  
Department of Justice  
P.O. Box 1167, Federal Sq. Station  
Harrisburg, Pennsylvania 17120  
Phone: 717/787-2040

PENNSYLVANIA  
WESTERN

Room 2401  
1000 Liberty Avenue  
Pittsburgh, Pennsylvania 15221  
Phone: 412/722-6745

See Eastern Pennsylvania

PUERTO RICO

U.S. Court House and  
Federal Office Building  
Suite 662, Carlos Chardon Avenue  
Hato Rey, Puerto Rico 00936  
Phone: 809/753-4314

Crime Commission  
GPO Box 1256  
Hato Rey, Puerto Rico 00936  
Phone: 809/783-0398

RHODE ISLAND

Federal Building, U.S.P.O.  
Exchange Terrace  
Providence, Rhode Island 02903  
Phone: 401/838-4326

Governor's Justice Commission  
110 Eddy Street  
Providence, Rhode Island 02903  
Phone: 401/277-2620

SOUTH CAROLINA

Federal Building  
Room 601  
901 Sumter Street  
Columbia, South Carolina 29201  
Phone: 803/677-5771

Office of Criminal Justice Programs  
Edgar A. Brown State Office Building  
1205 Pendleton Street  
Columbia, South Carolina 29201  
Phone: 803/758-3573

SOUTH DAKOTA

Federal Bldg., Room 247  
225 S. Pierre Street  
Pierre, South Dakota 57501  
Phone: 605/782-5232

Division of Law Enforcement  
Assistance  
200 West Pleasant Drive  
Pierre, South Dakota 57501  
Phone: 605/773-3665

TENNESSEE

U.S. Building  
Federal Court House  
801 Broadway, Room 246  
Nashville, Tennessee 37203  
Phone: 615/852-5561

Law Enforcement Planning Agency  
Browning-Scott Building  
4950 Linbar Drive  
Nashville, Tennessee 37211  
Phone: 615/741-3521

TEXAS

Austin National Bank Tower  
Suite 1414  
515 Congress Avenue  
Austin, Texas 78701  
Phone: 512/734-5671

Criminal Justice Division  
Office of the Governor  
411 West Thirteenth Street  
Austin, Texas 78701  
Phone: 512/475-4444

TRUST TERRITORY OF THE PACIFIC ISLANDS

See Hawaii

Justice Improvement Commission  
Capitol Heights, Rural P.O. Branch  
Trust Territory of the Pacific  
Islands  
Saipan, Mariana Islands 96950

UTAH

1864 South State Street  
Room 295  
Salt Lake City, Utah 84115  
Phone: 801/588-5411

Council on Criminal Justice  
Administration  
255 South Third Street-East  
Salt Lake City, Utah 84111  
Phone: 801/533-5731

VERMONT

See New Hampshire

Commission on the Adm. of Justice  
149 State Street  
Montpelier, Vermont 05602  
Phone: 802/828-2351

VIRGINIA

400 North 8th Street  
P.O. Box 10066  
Richmond, Virginia 23240  
Phone: 804/925-2197

Division of Justice & Crime Preven.  
8501 Mayland Drive, Parham Park  
Richmond, Virginia 23229  
Phone: 804/281-9276

VIRGIN ISLANDS

See Puerto Rico

Law Enforcement Planning Commission  
Box 3807  
St. Thomas, Virgin Islands 00801  
Phone: 809/774-6400

WASHINGTON

1601 Second Avenue  
Seattle, Washington 98101  
Phone: 206/399-4975

Division of Criminal Justice  
Office of Financial Management  
102 North Quince M.S. GF-01  
Olympia, Washington 98504  
Phone: 206/753-2235

WEST VIRGINIA

See Pennsylvania

Criminal Justice & Highway  
Safety Division  
Morris Square, Suite 321  
1212 Lewis Street  
Charleston, West Virginia 25301  
Phone: 304/348-8814

WISCONSIN

517 East Wisconsin Avenue  
Room 617  
Milwaukee, Wisconsin 53205  
Phone: 414/362-1118

Council on Criminal Justice  
122 West Washington Avenue  
Madison, Wisconsin 53703  
Phone: 608/266-3323

WYOMING

See Colorado

Governor's Planning Committee  
on Criminal Administration  
State Office Building-East  
Cheyenne, Wyoming 82002  
Phone: 307/777-7716

### APPENDIX 3. AWARD AND ADMINISTRATION OF GRANTS

1. SCOPE. This appendix describes procedures for awarding and administering grant funds, for grantee reporting, and for termination of grants.
2. APPLICABILITY OF FINANCIAL MANAGEMENT GUIDE. UCPP grants will be administered in accordance with M 7100.1, effective edition, Financial Management for Planning and Action Grants. A copy may be obtained by writing to: U.S. Department of Justice, Law Enforcement Assistance Administration, Office of Comptroller, Washington, D.C. 20531
3. AWARD AND PAYMENT OF FUNDS. The following criteria apply:
  - a. Applicants who do not have an accounting system are advised to include in the grant request the services of a certified public accountant to set up such a system and certify that it is sufficient to ensure proper receipt, obligation, and expenditure of Federal funds. These applicants may be more closely reviewed by LEAA's Office of the Comptroller or Audit Office to determine financial management capability.
  - b. When applicants are notified of grant approval they will receive a formal statement of award indicating the amount and any special conditions.
  - c. Applicants receiving an award of \$250,000 or more must promptly file their current updated Equal Employment Opportunity Program with the LEAA Office of Civil Rights Compliance.
  - d. When the award is made to the grantee, it is obligated to promptly allocate funds to the intended implementing agencies, and/or to begin project activities within project organizations for which the grantee retains financial administration.
  - e. Payment of funds will be through Letter of Credit procedure unless the grantee provides compelling justification that the Request for Advance or Reimbursement should be used.
  - f. The provisions of Chapter 5, paragraph 6 of M 7100.1, are not applicable to UCPP grants. UCPP grant funds will be obligated within the specific grant period indicated on the grantee's statement of award.
  - g. Requests for a change or an extention of the grant period must be made in writing at least 90 days in advance of the expiration of the grant.
  - h. Consistent with the national goal of expanding the opportunities for minority business enterprises, grantees are encouraged to use minority banks.

4. ALLOWABILITY OF COSTS. The allowability of costs incurred under any grant shall be determined in accordance with the general principles of allowability and standards for selected cost items set forth in GSA FMC-74-4, "Cost Principles Applicable to Grants and Contracts with State and Local Government" and in LEAA Guideline Manual, (effective edition, M 7100.1), Financial Management for Planning and Action Grants.

- a. The grantee shall include in the grant application a separate detailed budget of proposed project costs for each project organization supported under the UCPP grant.
- b. The budget narrative will set forth the details of cost items specified in the effective edition of M 7100.1 as requiring specific prior approval.
- c. Award of the UCPP grant will constitute approval in each instance of specified cost items and therefore "prior approval" items will receive consideration and subsequent approval or disapproval as part of the award process.
- d. Changes among items within one of the budget categories may be made by the grantee without prior approval but remain subject to M 7100.1 cost allowability and budget requirements and may not constitute a change in the scope or objective of the approved project.
- e. Limitations of travel and subsistence charges by grantee personnel who are in travel status on official business incident to a grant program shall be consistent with those normally allowed in like circumstances in the non-Federally sponsored activities of the grantees. (See LEAA Guideline G 7100.3, effective edition, Principles for Determining Travel Costs Applicable to LEAA Grants, for further explanation of the LEAA travel policy.)
- f. Grants to nonprofit organizations are subject to OMB Financial Management Circulars setting forth cost principles for such organizations.
- g. Upward revisions of provisional indirect cost rates that cause expenditures of grant funds in excess of the amount obligated by LEAA will normally be absorbed by grantee or rebudgeted in lieu of supplementary awards.
- h. Prior written approval of UCPP is required for major project changes such as the following:
  - (1) Change in objective or scope of work;
  - (2) Change in project site;
  - (3) Change in project period;

- (4) Change in project organization;
- (5) Change that increases or decreases the total cost of project;
- (6) Transfer of the grant to another grantee;
- (7) Transfer of any principal activity of the grant to another organization.

5. ADMINISTRATION AND SUPERVISION RESPONSIBILITY. The following apply:

- a. The grantee has the responsibility for assuring proper programmatic and financial administration, including responsibility for:
  - (1) Proper conduct of the programmatic and financial affairs of any project activity (including project organizations) insofar as they relate to the project for which the funds have been made available;
  - (2) Default in which the grantee may be held accountable for improper use of grant funds.
- b. Grantees have the authority to transfer, between direct cost object class budget categories:
  - (1) The cumulative amount of five percent of the grant budget or \$10,000 whichever is greater, for grant budgets in excess of \$100,000; or
  - (2) A cumulative five percent change of the grant budget for grants of \$100,000 or less.
  - (3) Grantee may authorize project organizations to transfer between direct cost object class budget categories a cumulative five percent change of the project organization's budget.
- c. Changes not authorized to be made by grantees in paragraph 5b above must receive prior approval from the UCPP staff. This includes transfer of funds from the grantee budget to a project organization's budget and vice versa, or from one project organization's budget to any other project organization's budget.
- d. Grantees must submit quarterly reports to Financial Management and Grants Administration Branch, Grants and Contracts Management Division, Office of the Comptroller, LEAA, Washington, D.C. 20531.
- e. Grantees and project organizations will be periodically monitored and reviewed on-site by appropriate federal UCPP staff.

6. AUDIT RESPONSIBILITIES. Pursuant to the Office of Management and Budget Circulars A-102, revised, Uniform Administrative Requirements for Grants-in-Aid to State and Local Government, Attachment H, and A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, Attachment F, grantees have the responsibility to provide for an audit of their activities.
7. SUSPENSION AND TERMINATION OF GRANTS. If a grantee or any project organization fails to comply with the statutes, regulations, terms or conditions of a grant, the grant could be subject to suspension of funds or termination per §803 of the Justice System Improvement Act of 1979.
8. REPORTS REQUIRED OF GRANT RECIPIENTS. Grant recipients must submit the following reports:
  - a. Categorical Grant Progress Reports (LEAA Form 4587/1) and Financial Status Reports (LEAA Form 7160/1) must be submitted quarterly to:

Control Desk  
Grants and Contracts Management Division  
Office of the Comptroller  
Law Enforcement Assistance Administration  
Washington, D.C. 20531

    - (1) Form 4587/1. Original and one copy should be submitted for federal quarterly reports which are due 30 days after the end of the federal quarter. An original and three copies should be submitted for final reports which are due 90 days after the end of the grant period.
    - (2) Form 7160/1. An original and two copies (white, yellow and pink copies of snap out form) should be submitted for both the quarterly and final reports. Quarterly reports are due 45 days after the end of the federal quarter and final reports are due 90 days after the end of the grant period.
  - b. Property acquired with grant funds is subject to the LEAA Guideline G 7380.2, Standards for Property Acquired with LEAA Grant Funds, which is based on the Federal Management Circular, FMC-74-7. Grantees are required:
    - (1) To maintain a readily identifiable inventory of property purchased in whole or in part with federal funds.
    - (2) To maintain as part of the financial records, the types of property management records for all property acquired as outlined in C 7380.2.

- (3) To follow the standards and procedures governing the ownership, use and disposition of nonexpendable property acquired in whole or in part with federal funds.
- c. Evaluation of the whole UCPP effort. The federal UCPP staff will arrange for an independent contractor to evaluate the UCPP effort at all levels. All applicants for UCPP funds are required to indicate in their applications their agreement to cooperate fully with the UCPP staff and evaluation contractor by providing data, records and reports generated by their grants and by facilitating additional site visits and data collection for the contractor.
- d. For additional information on financial reports, reporting procedures and procedures governing property, see effective edition of M 7100.1, and G 7380.2.

APPENDIX 4. SPECIAL INSTRUCTIONS STANDARD FORM 424:  
PART I, PART III BUDGET INFORMATION AND BUDGET NARRATIVE,  
AND PART IV PROGRAM NARRATIVE

1. SCOPE. This appendix provides information to assist the applicants in developing the information required by the instructions for Parts I, III, and IV of the form, Standard Form 424, which is included in this appendix. For instructions concerning specific content items required in applications consult the UCPP manual.
2. STANDARD FORM 424 Part I.
  - a. Item No. 5, Federal Employer Identification Number. Enter the employer identification number assigned to the organization by the United States Internal Revenue Service.
  - b. Item No. 6, Federal Catalog Number. The Catalog of Federal Domestic Assistance program number for LEAA discretionary grants is 16.501. Only this number should be placed in block 6.
  - c. Item No. 7, Title and Description. The title of the program from which funding is sought is the Urban Crime Prevention Program. Summarize the project in one or two sentences.
  - d. Item No. 8, Type of Applicant. Applicant here refers to the nonprofit organization that will implement the program as direct grantee.
  - e. Item No. 23, Signature of Authorized Representative. The signature shown MUST BE that of the individual authorized to enter into binding commitments on behalf of the applicant. He/she will normally be the chief officer of the organization involved. (Signature is required on original of submitted application copies.)
3. PART III, BUDGET INFORMATION AND BUDGET NARRATIVE.
  - a. Budget Information. (Section A)
    - (1) Section A, column (a). Grant applicants should place the designation "DF-Part C" on line 1.
    - (2) Section A, column (b). Column (b) will always reflect the Catalog of Federal Domestic Assistance program number for LEAA discretionary grants, 16.501. This is the same number that appears in Item 6 of Part I of the application.

b. Budget Narrative. Applicants for grants must submit on separate sheets a budget narrative. The budget narrative should detail by budget category the Federal share. A non-Federal share is not required. The purpose of the budget narrative is to relate items budgeted to project activities and to provide justification and explanation for budget items, including criteria and data used to arrive at the estimates for each budget category. The following information is provided to assist the applicant in developing the budget narrative.

- (1) Personnel Category. List each position by title (and name of employee if available), show annual salary rate and percentage of time to be devoted to the project by the employee. Compensation paid for employees engaged in Federally assisted activities must be consistent with that paid for similar work in other activities of the applicant.
- (2) Fringe Benefits Category. Indicate each type of benefit included and the total cost allowable to employees assigned to the project.
- (3) Travel Category. Itemize travel expenses of project personnel by purpose (e.g., field interviews, advisory group meetings, etc.) and show basis or computation (e.g., "Five trips for 'x' purpose at \$80 average cost - \$50 transportation and two days per diem at \$15" or "six people to 3-day meeting at \$70 transportation and \$45 subsistence.") In training projects where travel and subsistence for trainees is included, this should be separately listed indicating the number of trainees and unit cost involved.
  - (a) Identify the tentative location of all training sessions, meetings, and other travel.
  - (b) Consult such references as the Official Airline Guide and the Hotel and Motel Redbook in projecting travel costs to obtain competitive rates.
- (4) Equipment. List each type of equipment to be purchased or rented with unit or monthly cost.
- (5) Supplies. List items within this category by major type (office supplies, training materials, research forms, postage) and show basis for computation. Provide unit or monthly estimates.

(6) Contractual Category. For the contractual category the grantee must include:

- (a) The proposed instrument (funding agreement) that will be used to establish the relationship between the grantee and recipient project organization;
- (b) The method of funding that will be used to support the agreement (advance or reimbursement);
- (c) A description of the process that determined that the recipient project organization has the financial management capability and the fiscal capacity necessary to adequately and appropriately administer the federal funds involved in the agreement;
- (d) For individuals to be reimbursed for personal services on a fee basis, a list by name or type of consultant or service, the proposed fee (by day, week or hour), and the amount of time to be devoted to such services.
- (e) For construction contracts and organization, (including professional associations and education institutions performing professional services), the type of services to be performed and the estimated contract cost data.

(7) Other Category. Include under "other" such items as rent, reproduction, telephone, and janitorial or security services. List items by major type with basis of computation shown. (Provide square footage and cost per square foot for rent, provide local and long distance telephone charges separately).

(8) Indirect Charges. The following guidelines apply:

- (a) The UCPP may accept any indirect cost rate or allocation plan previously approved for any grantee by any Federal granting agency on the basis of allocation methods substantially in accord with those set forth in Circular A-87.
- (b) In lieu of submitting actual indirect cost proposals, flat amounts not in excess of ten percent of direct labor costs (including fringe benefits) or five percent of total direct costs may be allowed as a predetermined rate based on general experience with respect to minimum overhead support levels required for governmental agency operation.

- (c) Where flat rates are accepted in lieu of actual indirect costs, grantees may not also charge expenses normally included in overhead pools, e.g., accounting services, legal services, building occupancy and maintenance, etc., as direct costs. Grantees are encouraged to seek maximum indirect cost absorption as a means for broader and more concentrated application of Federal funds to direct anti-crime activities.
- (9) Program Income. If applicable, provide a detailed estimate of the amount of program income to be generated during the grant period and its proposed application (to reduce the costs of the project or to increase the scope of the project). Also, describe the source of program income, listing the rental rates to be obtained, sale prices of publications supported by grant funds, and registration fees charged for particular sessions. If scholarships (covering, for example registration fees) are awarded by the organization to certain conferences attendees, the application should identify the percentage of all attendees that are projected as "scholarship" cases and the precise criteria for their selection.

#### 4. PART IV - PROGRAM NARRATIVE.

Standard Form 424 Instructions require applicants to prepare a program narrative. Applicants should carefully review the UCPP guideline before completing the narrative. While the instructions on page 7 of the application apply, the following is offered as supplementary instructions to provide applicants with more specific guidance for completing UCPP applications.

- a. Objectives and Need for this Assistance. Applicants must do the following:
  - (1) Document in measurable terms the crime related physical, economic, social, financial, and/or institutional problems of the target area that their proposed program will address.
  - (2) List the principal and subordinate objectives of their proposed program that will address the identified crime problems. In addition describe how these objectives relate to the UCPP goals and objectives described in the UCPP guidebook.
  - (3) Explain why their organization should receive a UCPP grant to address the identified crime problems.
    - (a) Describe their organization's history and structure.
    - (b) Document their organization's experience in managing crime prevention and other projects on a neighborhood level.

- (c) List Federal, state or other grant awards to their organization that were for amounts similar to the budget they are requesting from UCPP.
- (d) Describe their organization's relationship with and/or support of neighborhood organizations, local government, and other urban public/private interests. If available, any relevant data based on planning studies should be included or footnoted.

b. Results or Benefits Expected.

Applicants must identify the results and benefits to be derived from the achievement of the principal and subordinate objectives of their proposed program. This should describe the overall impact expected from the project.

c. Approach. Applicants must:

- (1) Outline the proposed relationship between their organization and the project organizations which will be implementing projects by describing plans for the following activities:
  - (a) Assessment of project organization and volunteer technical assistance and training needs;
  - (b) Provision of training and technical assistance to project organizations and volunteers;
  - (c) Supervision of UCPP full-time volunteers when a project organization is not directly responsible for selection or administration of volunteers;
  - (d) Review of program progress and monitoring project organization compliance with UCPP goals and objectives, regulations, and guidelines; and
  - (e) Fiscal monitoring of project organizations' budgets.
- (2) Describe each project organization and the crime prevention project it will carry out.
  - (a) Discuss the project organization's history, organizational structure, and management capability.
  - (b) Describe the target area in which the project organization operates by defining the neighborhood and citing relevant demographic data including indices of low and moderate income population and crime statistics (NOTE: Justification must be provided if more than one project organization will be operating in a specific neighborhood, and each project organization must agree to cooperate with the other).

- (c) Document with data the specific crime problem the project organization will address and state the objective(s) the project organization will attempt to meet in addressing the problem. (NOTE: Justification must be provided for a project organization to undertake more than one type of project).
- (d) List the quantitative monthly projections of the accomplishments to be achieved in attaining the objective(s).
- (e) Note any resources required to achieve the objective(s) and plans to acquire these.
- (f) For each UCPP full-time volunteer requested, provide a work plan which details the specific tasks to be performed in support of the project organization's crime prevention project and which describes the supervision and training that will be provided the volunteer.
- (g) Include a budget and budget narrative for each proposed crime prevention project.

- (3) Indicate their willingness to assist the national evaluation contractor to identify and collect data during the grant period.
- (4) Describe how their organization will work toward forging a new partnership between local neighborhood groups, government officials and other public/private sector interests.
  - (a) Outline the process by which the program was planned and the program narrative written, including the needs assessments and/or data collection.
  - (b) Explain how project organizations were selected for inclusion in the proposed program.
  - (c) Describe the process by which an Advisory Council was formed, the Council's current role, if any, and its proposed role.

d. Geographic Location.

Attach a map or graphic aid of the entire program area showing the location of the grantee and of each project organization. Describe the geographical location of the program area in narrative form.

e. Attachments. The following must be included:

- (1) Proof of nonprofit status;
- (2) Articles of incorporation (for grantee only);
- (3) CPA certification of accounting capability (for grantee only);
- (4) Evidence that grant application was submitted to appropriate clearinghouse(s);
- (5) Documentation indicating each Advisory Council member's willingness to serve, participation in program planning, familiarity with the grant application, and whether an allocation will be awarded to an organization with which the council member is affiliated;
- (6) Biographies of each Advisory Council member;
- (7) Documentation indicating whether or not the mayor (or a designated representative) reviewed the grant application, participated in the application development process, and is willing to serve on the Advisory Council;
- (8) Assurances of willingness to cooperate with national technical assistance and evaluation contractors; and
- (9) Grantee staffing pattern and resumes of proposed key staff members.

SECTION I—APPLICANT/RECIPIENT DATA		SECTION II—CERTIFICATION		SECTION III—FEDERAL AGENCY ACTION	
<b>FEDERAL ASSISTANCE</b> 1. TYPE OF ACTION <input checked="" type="checkbox"/> PREAPPLICATION <input type="checkbox"/> APPLICATION <small>(Mark appropriate box)</small> <input type="checkbox"/> NOTIFICATION OF INTENT (Opt.) <input type="checkbox"/> REPORT OF FEDERAL ACTION		2. APPLICANT'S APPLICATION a. NUMBER b. DATE Year month day 19		3. STATE APPLICATION IDENTIFIER a. NUMBER b. DATE Year month day 19	
		Leave Blank			
<b>4. LEGAL APPLICANT/RECIPIENT</b> a. Applicant Name : b. Organization Unit : c. Street/P.O. Box : d. City : e. County : f. State : g. ZIP Code: h. Contact Person (Name & telephone No.) :				<b>5. FEDERAL EMPLOYER IDENTIFICATION NO.</b> 6. PROGRAM (From Federal Catalog) a. NUMBER b. TITLE	
<b>7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT</b>				<b>8. TYPE OF APPLICANT/RECIPIENT</b> A-State <input type="checkbox"/> H-Community Action Agency <input type="checkbox"/> B-Interstate <input type="checkbox"/> I-Higher Educational Institution <input type="checkbox"/> C-Substate <input type="checkbox"/> J-Indian Tribe <input type="checkbox"/> D-County <input type="checkbox"/> K-Other (Specify): <input type="checkbox"/> E-City <input type="checkbox"/> F-School District <input type="checkbox"/> G-Special Purpose <input type="checkbox"/> District Enter appropriate letter	
<b>10. AREA OF PROJECT IMPACT</b> (Names of cities, counties, States, etc.)		<b>11. ESTIMATED NUMBER OF PERSONS BENEFITTING</b>		<b>9. TYPE OF ASSISTANCE</b> A-Basic Grant <input type="checkbox"/> D-Insurance <input type="checkbox"/> B-Supplemental Grant <input type="checkbox"/> E-Other <input type="checkbox"/> C-Loan Enter appropriate letter(s)	
<b>13. PROPOSED FUNDING</b> a. FEDERAL \$ .00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$ .00		<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. APPLICANT b. PROJECT		<b>12. TYPE OF APPLICATION</b> A-New <input type="checkbox"/> C-Revision <input type="checkbox"/> E-Augmentation B-Renewal <input type="checkbox"/> D-Continuation Enter appropriate letter	
<b>16. PROJECT START DATE</b> Year month day 19		<b>17. PROJECT DURATION</b> Months		<b>15. TYPE OF CHANGE (For 12c or 12e)</b> A-Increase Dollars <input type="checkbox"/> F-Other (Specify): <input type="checkbox"/> B-Decrease Dollars <input type="checkbox"/> C-Increase Duration <input type="checkbox"/> D-Decrease Duration <input type="checkbox"/> E-Cancellation Enter appropriate letter(s)	
<b>18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY</b> ► Year month day 19				<b>19. EXISTING FEDERAL IDENTIFICATION NUMBER</b>	
<b>20. FEDERAL AGENCY TO RECEIVE REQUEST</b> (Name, City, State, ZIP code)				<b>21. REMARKS ADDED</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>22. THE APPLICANT CERTIFIES THAT</b> ►		a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved. b. If required by OMB Circular A-95 this application was submitted, pursuant to instructions therein, to appropriate clearinghouses and all responses are attached: (1) <input type="checkbox"/> (2) <input type="checkbox"/> (3) I, [Signature] Response attached			
<b>23. CERTIFYING REPRESENTATIVE</b>		a. TYPED NAME AND TITLE		b. SIGNATURE c. DATE SIGNED Year month day 19	
<b>24. AGENCY NAME</b>				<b>25. APPLICATION RECEIVED</b> Year month day 19	
<b>26. ORGANIZATIONAL UNIT</b>		<b>27. ADMINISTRATIVE OFFICE</b>		<b>28. FEDERAL APPLICATION IDENTIFICATION</b>	
<b>29. ADDRESS</b>				<b>30. FEDERAL GRANT IDENTIFICATION</b>	
<b>31. ACTION TAKEN</b> <input type="checkbox"/> a. AWARDED <input type="checkbox"/> b. REJECTED <input type="checkbox"/> c. RETURNED FOR AMENDMENT <input type="checkbox"/> d. DEFERRED <input type="checkbox"/> e. WITHDRAWN		<b>32. FUNDING</b> a. FEDERAL \$ .00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$ .00		Year month day <b>33. ACTION DATE</b> ► 19	
				<b>34. STARTING DATE</b> Year month day 19	
				<b>35. CONTACT FOR ADDITIONAL INFORMATION</b> (Name and telephone number)	
				<b>36. ENDING DATE</b> Year month day 19	
				<b>37. REMARKS ADDED</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>38. FEDERAL AGENCY A-95 ACTION</b>		a. In taking above action, any comments received from clearinghouses were considered. If agency response is due under provisions of Part 1, OMB Circular A-95, it has been or is being made.		b. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)	

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**SECTION IV-REMARKS** *(Please reference the proper item number from Sections I, II or III, if applicable)*

## GENERAL INSTRUCTIONS

This is a multi-purpose standard form. First, it will be used by applicants as a required facesheet for pre-applications and applications submitted in accordance with Federal Management Circular 74-7. Second, it will be used by Federal agencies to report to Clearinghouses on major actions taken on applications reviewed by clearinghouses in accordance with OMB Circular A-95. Third, it will be used by Federal agencies to notify States of grants-in-aid awarded in accordance with Treasury Circular 1082. Fourth, it may be used, on an optional basis, as a notification of intent from applicants to clearinghouses, as an early initial notice that Federal assistance is to be applied for (clearinghouse procedures will govern).

## APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I. If an item is not applicable, write "NA". If additional space is needed, insert an asterisk "\*\*", and use the remarks section on the back of the form. An explanation follows for each item:

Item	Item
1. Mark appropriate box. Pre-application and application guidance is in FMC 74-7 and Federal agency program instructions. Notification of intent guidance is in Circular A-95 and procedures from clearinghouse. Applicant will not use "Report of Federal Action" box.	D. Insurance. Self explanatory.
2a. Applicant's own control number, if desired.	E. Other. Explain on remarks page.
2b. Date Section I is prepared.	10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits.
3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. All requests to Federal agencies <i>must</i> contain this identifier if the program is covered by Circular A-95 and required by applicable State/areawide clearinghouse procedures. If in doubt, consult your clearinghouse.	11. Estimated number of persons directly benefiting from project.
3b. Date applicant notified of clearinghouse identifier.	12. Use appropriate code letter. Definitions are:
4a-4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request.	A. New. A submittal for the first time for a new project.
5. Employer identification number of applicant as assigned by Internal Revenue Service.	B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.
6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code.	C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).
6b. Program title from Federal Catalog. Abbreviate if necessary.	D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years.
7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description.	E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.
8. Mostly self-explanatory. "City" includes town, township or other municipality.	13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks.
9. Check the type(s) of assistance requested. The definitions of the terms are:	14a. Self explanatory.
A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant.	14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide."
B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).	15. Complete only for revisions (item 12c), or augmentations (item 12e).
C. Loan. Self explanatory.	

Item	Item
16. Approximate date project expected to begin (usually associated with estimated date of availability of funding).	19. Existing Federal identification number if this is not a new request and directly relates to a previous Federal action. Otherwise write "NA".
17. Estimated number of months to complete project after Federal funds are available.	20. Indicate Federal agency to which this request is addressed. Street address not required, but do use ZIP.
18. Estimated date preapplication/application will be submitted to Federal agency if this project requires clearinghouse review. If review not required, this date would usually be same as date in item 2b.	21. Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached.

## APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete items 23a, 23b, and 23c. If clearinghouse review is required, item 22b must be fully completed. An explanation follows for each item:

Item	Item
22b. List clearinghouses to which submitted and show in appropriate blocks the status of their responses. For more than three clearinghouses, continue in remarks section. All written comments submitted by or through clearinghouses must be attached.	23b. Self explanatory.
23a. Name and title of authorized representative of legal applicant.	23c. Self explanatory.

Note: Applicant completes only Sections I and II. Section III is completed by Federal agencies.

## FEDERAL AGENCY PROCEDURES FOR SECTION III

If applicant-supplied information in Sections I and II needs no updating or adjustment to fit the final Federal action, the Federal agency will complete Section III only. An explanation for each item follows:

Item	Item
24. Executive department or independent agency having program administration responsibility.	35. Name and telephone no. of agency person who can provide more information regarding this assistance.
25. Self explanatory.	36. Date after which funds will no longer be available.
26. Primary organizational unit below department level having direct program management responsibility.	37. Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks.
27. Office directly monitoring the program.	38. For use with A-95 action notices only. Name and telephone of person who can assure that appropriate A-95 action has been taken—if same as person shown in item 35, write "same". If not applicable, write "NA".
28. Use to identify non-award actions where Federal grant identifier in item 30 is not applicable or will not suffice.	
29. Complete address of administering office shown in item 26.	
30. Use to identify award actions where different from Federal application identifier in item 28.	
31. Self explanatory. Use remarks section to amplify where appropriate.	
32. Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of <del>-----</del> For decreases, enclose the amount in parentheses and supplemental amounts or multiple program break-a, amount <del>-----</del> amount ap-e, if cal nt; in	
33. <del>-----</del> action was taken on this request.	
34. Date funds will become available.	

### Federal Agency Procedures—special considerations

- A. **Treasury Circular 1082 compliance.** Federal agency will assure proper completion of Sections I and III. If Section I is being completed by Federal agency, all applicable items must be filled in. Addresses of State Information Reception Agencies (SCIRA's) are provided by Treasury Department to each agency. This form replaces SF 240, which will no longer be used.
- B. **OMB Circular A-95 compliance.** Federal agency will assure proper completion of Sections I, II, and III. This form is required for notifying all reviewing clearinghouses of major actions on all programs reviewed under A-95. Addresses of State and areawide clearinghouses are provided by OMB to each agency. Substantive differences between applicant's request and/or clearinghouse recommendations, and the project as finally awarded will be explained in A-95 notifications to clearinghouses.
- C. **Special note.** In most, but not all States, the A-95 State clearinghouse and the (TC 1082) SCIRA are the same office. In such cases, the A-95 award notice to the State clearinghouse will fulfill the TC 1082 award notice requirement to the State SCIRA. Duplicate notification should be avoided.

## PART II

FORM APPROVED  
OMB NO. 43-RO528

## PROJECT APPROVAL INFORMATION

Item 1.

Does this assistance request require State, local, regional, or other priority rating?

Yes NoName of Governing Body \_\_\_\_\_  
Priority Rating \_\_\_\_\_Item 2.

Does this assistance request require State, or local advisory, educational or health clearances?

Yes No (Attach Documentation)

Name of Agency or Board \_\_\_\_\_

Item 3.

Does this assistance request require clearinghouse review in accordance with OMB Circular A-95?

(Attach Comments)

Yes NoItem 4.

Does this assistance request require State, local, regional or other planning approval?

Yes NoName of Approving Agency \_\_\_\_\_  
Date \_\_\_\_\_Item 5.

Is the proposed project covered by an approved comprehensive plan?

Yes No Location of Plan \_\_\_\_\_Check one: State   
Local   
Regional Item 6.

Will the assistance requested serve a Federal installation?

Yes No Name of Federal Installation \_\_\_\_\_

Federal Population benefiting from Project \_\_\_\_\_

Item 7.

Will the assistance requested be on Federal land or installation?

Yes No Name of Federal Installation \_\_\_\_\_

Location of Federal Land \_\_\_\_\_

Percent of Project \_\_\_\_\_

Item 8.

Will the assistance requested have an impact or effect on the environment?

Yes No

See instructions for additional information to be provided.

Item 9.

Will the assistance requested cause the displacement of individuals, families, businesses, or farms?

Yes No

Number of:

Individuals \_\_\_\_\_

Families \_\_\_\_\_

Businesses \_\_\_\_\_

Farms \_\_\_\_\_

Item 10.

Is there other related assistance on this project previous, pending, or anticipated?

Yes No

See instructions for additional information to be provided.

## INSTRUCTIONS

### PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions:

**Item 1** — Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

**Item 2** — Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval.

**Item 3** — Attach the clearinghouse comments for the application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

**Item 4** — Furnish the name of the approving agency and the approval date.

**Item 5** — Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the

scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

**Item 6** — Show the population residing or working on the Federal installation who will benefit from this project.

**Item 7** — Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

**Item 8** — Describe briefly the possible beneficial and harmful impact on the environment of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

**Item 9** — State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

**Item 10** — Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and the amount of each project where there is related previous, pending or anticipated assistance. Use additional sheets, if needed.

No grant may be awarded unless a completed application form has been received.  
(Sec. 501, P.L. 93-83)

PART III – BUDGET INFORMATION

SECTION A – BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget	
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)
1.		\$	\$	\$	\$
2.					
3.					
4.					
5. TOTALS		\$	\$	\$	\$

SECTION B – BUDGET CATEGORIES

6. Object Class Categories (1)	– Grant Program, Function or Activity (2)			Total (5)
	(3)	(4)	(4)	
a. Personnel	\$	\$	\$	\$
b. Fringe Benefits				
c. Travel				
d. Equipment				
e. Supplies				
f. Contractual				
g. Construction				
h. Other				
i. Total Direct Charges				
j. Indirect Charges				
k. TOTALS	\$	\$	\$	\$
l. Program Income	\$	\$	\$	\$

## INSTRUCTIONS

### PART III

#### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may not require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

#### Section A. Budget Summary

Lines 1-4, Columns (a) and (b).

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to *multiple* programs where *none* of the programs *require* a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by

the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period *only* if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

*For supplemental grants and changes to existing grants,* do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should *not* equal the sum of amounts in Columns (e) and (f).

Line 5 – Show the totals for all columns used.

#### Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets were prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-h – Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

Line 6i – Show the totals of Lines 6a to 6h in each column.

Line 6j – Show the amount of indirect cost. Refer to FMC 74-4.

Line 6k – Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

Line 7 – Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

### SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS	\$	\$	\$	\$

### SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. TOTAL	\$	\$	\$	\$	\$

### SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS	\$	\$	\$	\$

### SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

## INSTRUCTIONS

### PART III (continued)

#### Section C. Source of Non-Federal Resources

**Line 8-11** – Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet. (See Attachment F, FMC 74-7.

**Column (a)** – Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** – Enter the amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, FMC 74-7.

**Column (c)** – Enter the State contribution if the applicant is *not* a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)** – Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** – Enter totals of Columns (b), (c), and (d).

**Line 12** – Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

#### Section D. Forecasted Cash Needs

**Line 13** – Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** – Enter the amount of cash from all other sources needed by quarter during the first year.

#### LEAA Instructions

Applicants must provide on a separate sheet(s) a budget narrative which will detail by budget category, the federal and nonfederal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a state or local unit of government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

**Line 15** – Enter the totals of amounts on Lines 13 and 14.

#### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19** – Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuing grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This Section need not be completed for amendments, changes, or supplements to funds for the current year of existing grants.

If more than four lines are needed to list the program titles submit additional schedules as necessary.

**Line 20** – Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

#### Section F – Other Budget Information

**Line 21** – Use this space to explain amounts for individual direct object cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22** – Enter the type of indirect rate (provisional, pre-determined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** – Provide any other explanations required herein or any other comments deemed necessary.

## INSTRUCTIONS

### PART IV PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

#### 1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

#### 2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

#### 3. APPROACH.

- a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function or activity, provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- b. Provide for each grant program, function or activity, quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created; the number of people served; and the number of patients treated. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

#### 4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

#### 5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget has been exceeded, or if individual budget items have changed more than the prescribed limits contained in Attachment K to FMC 74-7, explain and justify the change and its effect on the project.
- c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

## PART V

### ASSURANCES

The Applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines, and requirements, including OMB Circular No. A-95 and FMCs 74-4 and 74-7, as they relate to the application, acceptance and use of Federal funds for this federally assisted project. Also the Applicant assures and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
- 3a. It will comply with the provisions of 28 C.F.R. 42.101 et seq. prohibiting discrimination based on race, color or national origin by or through its contractual arrangements. If the grantee is an institution or a governmental agency, office or unit then this assurance of nondiscrimination by race, color or national origin extends to discrimination anywhere in the institution or governmental agency, office, or unit.
- 3b. If the grantee is a unit of state or local government, state planning agency or law enforcement agency, it will comply with Title VII of the Civil Rights Act of 1964, as amended, and 28 C.F.R. 42.201 et seq. prohibiting discrimination in employment practices based on race, color, creed, sex or national origin. Additionally, it will obtain assurances from all subgrantees, contractors and subcontractors that they will not discriminate in employment practices based on race, color, creed, sex or national origin.
- 3c. It will comply with and will insure compliance by its subgrantees and contractors with Title I of the Crime Control Act of 1973, Title VI of the Civil Rights Act of 1964 and all requirements imposed by or pursuant to regulations of the Department of Justice (28 C.F.R. Part 42) such that no person, on the basis of race, color, sex or national origin, be denied participation in, be denied the benefits of, or be otherwise subjected to discrimination in any program or activity funded by LEAA.
4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
7. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
8. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with FMC 74-7.
9. It will comply with the provision of 28 CFR Part 20 regulating the privacy and security of criminal history information systems.
10. All published material and written reports submitted under this grant or in conjunction with the third party agreements under this grant will be originally developed material unless otherwise specifically provided for in the grant document. Material not originally developed included in reports will have the source identified either in the body of the report or in a footnote, whether the material is in a verbatim or extensive paraphrase format. All published material and written reports shall give notice that funds were provided under an LEAA grant.
11. Requests for proposal or invitations for bid issued by the grantee or a subgrantee to implement the grant or subgrant project will provide notice to prospective bidders that the LEAA organizational conflict of interest provision is applicable in that contractors that develop or draft specifications, requirements, statements of work and/or RFP's for a proposed procurement shall be excluded from bidding or submitting a proposal to compete for the award of such procurement.

